DOCUMENT RESUME

ED 345 342 EA 023 923

AUTHOR	Witters-Churchill, Laurie, Ed.; Erlandson, David A., Ed.
TITLE	The Principalship in the 1990s and Beyond; Current Research on Performance-Based Preparation and Professional Development. UCEA Monograph Series.
INSTITUTION	University Council for Educational Administration.
REPORT NO	ISBN-1-55996-145-7; ISSN-1041-3505-2
PUB DATE	90
NOTE	76p.
AVAILABLE FROM	University Council for Educational Administration, Inc., 116 Farmer Building, Tempe, AZ 85287-2211.
PUB TYPE	Reports - Evaluative/Feasibility (142)
EDRS PRICE	MF01/PC04 Plus Postage.
DESCRIPTORS	*Administrator Attitudes; *Administrator Education; Administrator Evaluation; *Assessment Centers (Personnel); Educational Administration; Elementary Secondary Education; Graduate Study; Higher Education; *Management Development; *Principals
IDENTIFIERS	*Competency Based Assessment; Michigan; New York; *Texas

ABSTRACT

This monograph summarizes three research projects on competency-based administrator preparation that were undertaken by the National Association of Secondary School Principals' University Consortium. An extensive Texas study surveyed principals' attitudes toward preparation programs, and two replication studies were conducted in Michigan and New York. Chapter 1 provides background information for the studies. Chapters 2 and 3 examine how practicing principals from three states see their preparation programs. The next two chapters examine several university programs in relation to the consortium's performance-based recommendations. The sixth and seventh chapters report on current procedures used in principals' assessment and professional development, reflecting some of the initial work supported by the Texas A & M University Principals' Center. Chapter 6 concentrates on principal evaluation, and chapter 7 reviews research and development activity producing and supporting the Management Profile, a comprehensive strategy to assist principals in identifying and strengthening their management skills. Chapter 8 summarizes individual studies and recommendations for future activities. (MLH)

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THE PRINCIPALSHIP IN THE 1990s AND BEYOND: Current Research on Performance-Based Preparation and Professional Development

Edited by
Laurie Witters-Churchill and
David A. Erlandson

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MONOGRAPH SERIES
ISSN: 1041-3502
UNIVERSITY COUNCIL FOR EDUCATIONAL ADMINISTRATION

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THE PRINCIPALSHIP IN THE 1990s AND BEYOND:
Current Research on Performance-Based Preparation and Professional Development

UCEA MONOGRAPH SERIES

Edited by
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The University Council for Educational Administration
116 Farmer Building
Tempe, AZ 85287-2211

ISSN: 1041-3505-2
ISBN: 1-55996-145-7

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PREFACE

As we enter the last decade of the twentieth century, a reexamination of the academic and professional preparation of principals is warranted. Much attention has been placed on the principalship in recent years, with most observers recognizing the importance of the principal to successful schools. To meet this demand for effective principals, university preparation programs are seeking ways to improve the formal preservice training of these principals.

The National Association of Secondary School Principals has long sought to improve the principalship, beginning with the formal university preparation programs. To accomplish this goal, collaborative efforts between professors and practitioners were initiated in the 1960s. The establishment of the Committee of Professors of Secondary School Administration and Supervision (PSSAS) in 1969 marked the formalization of this effort. The PSSAS Committee's first major purpose was to advise NASSP about professional preservice and inservice preparation of principals.

Several conferences were held during the 1970s which addressed this purpose. Results of a 1971 Purdue Conference were summarized in an NASSP monograph *Where Will They Find It?* (1973). This monograph recommended competency-based approaches in preparation programs. The competency-based model was clarified and developed further in the Terre Haute Institute (1973) and the Three Rivers Conference (1974), and these refinements were reported in another NASSP monograph entitled *Continuing the Search* (1975).

In 1977, the PSSAS Committee sponsored a University Consortium whose purpose was to promote interest in competency-based administrator education. Gradually the focus of the Consortium has shifted from competency-based to performance-based preparation, with the underlying theme of program improvement remaining. The Consortium's work of eight years culminated in the issuing of a special report entitled *Performance-Based Preparation of Principals: A Framework for Improvement*. This special report, now commonly referred to as the "red book," was the first step in a comprehensive plan for the dissemination of information judged to be of critical importance to the profession. It focused on the design, delivery, and analysis of instruction in principal preparation programs and suggested strategies for linking traditional classroom programs with clinical and field-based experiences.

The NASSP University Consortium's next agenda included the commissioning of a large-scale survey to tap the opinions of practicing principals regarding their formal university preparation programs. The state of Texas was selected as the site for the first survey (known as the Texas Study), with later follow-up surveys planned for other Consortium states. Additionally, the Consortium was interested in conducting case studies to examine specific activities, opportunities, and obstacles in the generation of performance-based programs. These two research projects represented the Consortium's next steps.

Meanwhile, several extensive research projects were being sponsored by the Texas A&M University Principals' Center. These projects related at least indirectly to the original goals of the NASSP University Consortium, as they examined

university preparation programs from the viewpoints of effective principals, the evaluation of principals, the development of managerial skills in principals, and the specification of standards for the principalship. Upon completion of the Texas Study, replication surveys were conducted in Michigan and New York. In yet another offshoot of the Consortium's agenda, a study examining the application of the recommendations of the "red book" in university programs was conducted in Michigan.

This monograph summarizes these research efforts and provides direction for further study in the coming decade. The ultimate goal, better principals and better schools, remains the primary purpose of this report.

Chapter 1 provides background information to set the stage for the research studies reported in this monograph. The second and third chapters examine the ways in which practicing principals consider their own preparation programs. In **Chapter 2**, the methods and results of the Texas Study, the survey of current practitioners regarding their opinions and recommendations for preparation programs, are reported. **Chapter 3** provides an extension to the Texas Study, by reporting the results of the replications conducted in Michigan and New York. Implications from these three surveys are discussed.

The next two chapters examine several current university programs in relation to the performance-based recommendations of the Consortium. In **Chapter 4**, a Michigan study examining the application of the specific recommendations of the "red book" in university preparation programs is reported. **Chapter 5** provides a summary of the findings of four case studies of exemplary university preparation programs which have attempted to implement performance-based models in their training of principals.

The sixth and seventh chapters report on current procedures used in the assessment and professional development of principals. Both chapters reflect some of the initial work that has been supported by the Texas A & M University Principals' Center. The evaluation of principals is examined in **Chapter 6**, with both current and recommended practices discussed. Chapter 7 provides a review of the research and development activity that has produced and supported the Management Profile, a comprehensive strategy designed to assist principals in identifying and strengthening their management skills. Finally, a summary of the individual studies and recommendations for next steps are presented in **Chapter 8**.

This volume is obviously the work of many different people in some very diverse places. A special note of appreciation is due to the university researchers and principals who contributed to this volume. Beyond their particular contributions are the large number of principals and professors whose willingness to participate in surveys and interviews and furnish materials to the researchers made the studies possible. We also acknowledge our debt to the members of NASSP's Consortium for Performance-Based Preparation of Principals whose work provided the foundation upon which these studies are built. We would also like to extend our thanks to James W. Keefe, director of research at NASSP, Lloyd E. McCleary, of the University of Utah, and John R. Hoyle and David Hinojosa of Texas A&M University for their willingness to review and critique this manuscript.

More detailed information on the studies described in this volume or on the progress of studies it proposes may be obtained by writing to The Principals' Center, Texas A&M University, College Station, TX 77843-4226 or calling them at 800-826-1287.

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Chapter 1

Introduction

The importance of the principal to the success of schools has been widely acclaimed in recent years. Cornett (1983) declared that the principal, more than any other single person, is responsible for the success or failure of a public school. In spite of the acknowledgement that the principal is the key to an effective school, the university programs that prepare and certify school administrators are viewed as less than adequate (e.g., Finn, 1986; Gorton & McIntyre, 1978; Hills, 1983; Kelley, 1986). This is particularly disturbing because, as the Southern Regional Education Board (1986) puts it, higher education is a "gatekeeper," with the task of ensuring that state certification standards are maintained and met; thus, the university becomes the only "gate" through which all future administrators must pass.

In spite of the crucial role that university administrator preparation programs play in the selection, development, and subsequent quality of principals, numerous vocal critics are able to point to flaws in many aspects of these programs. These views were summarized by Chester Finn (1986) who stated that "the usual means by which principals are selected, trained, and certified, and the terms of their employment, are grossly ill-suited to the production of savvy, risk-taking entrepreneurial education leaders" (p. 40). In an even harsher indictment of the quality of university preparation of principals, Willis Hawley, dean of education at Vanderbilt University's Peabody College declared, "Bluntly, most programs for training school administrators range in quality from embarrassing to disastrous" (Rodman, March 11, 1987, p. 1).

It cannot be said that professional associations such as the National Association of Secondary School Principals (NASSP) and individual university departments of educational administration have not heard the criticism and have not attempted to respond. Current reforms in preparation programs, or at least rhetoric about those reforms, are as widespread as the reform movement in education as a whole. These efforts have centered upon the primary goal of preparation programs: to improve the competence of principals. Numerous authors have proposed recommendations for selection (Cornett, 1983; Finn, 1986), for preparation (Erlandson, 1979; Hills, 1983), and for development (Geering, 1982; MacDonald, 1986) of principals.

Nonetheless, critics continue to accentuate program weaknesses and the subsequent

weaknesses of the principals prepared by those programs. Existing programs meet their state's requirements largely by offering a series of courses, unrelated to each other in content and taken on a part-time basis, in areas that include management, instruction, and school finance and law (Southern Regional Education Board, 1986). These programs are generally non-selective, and they focus on knowledge, not on skill development. Practicing school administrators judge their university training to have been easy, boring, and only intermittently useful to them in their daily tasks (Peterson & Finn, 1985). Few critics, however, propose solutions or even clear directions for improvement.

Performance-Based Preparation of Principals

The National Association of Secondary School Principals has demonstrated a clear philosophy for the direction it believes preparation programs should take. This philosophy has guided NASSP's efforts in their quest for increasing performance-based preparation. One effort of NASSP related to this quest was the initiation of an Assessment Center Project in 1975. The purpose of this project was to improve the process of selecting principals and the processes of development and preparation of principals. Twelve generic skills were identified as critical for effective principals and assistant principals. These 12 skills have greatly influenced NASSP's model for performance-based preparation. In a comprehensive attempt to validate the Assessment Center process, Schmitt, Noe, Meritt, Fitzgerald, and Jorgenson (1983) reported that an Assessment Center participant's ratings provide strong predictive validity when the criterion is ratings by superiors once he or she becomes a principal.

The Consortium for the Performance-Based Preparation of Principals of the National Association of Secondary School Principals provided an extensive framework for determining a more experience-based training program for principals. In a special report titled *Performance-Based Preparation of Principals: A Framework for Improvement* (1985) a five part model for principal preparation was proposed. This model focused on goals, admission requirements, diagnosis of learner knowledge and skills, design and delivery of instruction, and requirements for program completion and initial placement in principal preparation programs. These proposals emphasized the need for a strong performance-based component in principal preparation programs and offered suggestions for achieving successful implementation of such a program. Performance-based components, this report asserted, are the "activities or experiences that require application of knowledge and skills and explicit demonstration of performance by participation in simulations, practica, and internships" (National Association of Secondary School Principals, 1985, p. 7).

This NASSP University Consortium model for improvement extended study into the 12 skill dimensions of the Assessment Center Project. Included in the "red book" were methods for linking theory to practice and for program evaluation. The Consortium charged principal preparation programs with the goal of structuring experiences that would enhance the generic skills of individuals.

Generic Skills of the NASSP Assessment Center

The 12 skills of the NASSP Assessment Center and their definitions are as follows:

1. *Decisiveness.* Ability to recognize when a decision is required; ability to act quickly when required.

2. *Judgment.* Ability to reach logical conclusions and make high quality decisions based on available information; skill in identifying educational needs and setting priorities; ability to evaluate critically written communications.

3. *Leadership.* Ability to get others involved in solving problems; ability to recognize when a group requires direction, to interact with a group effectively, and to guide them in the accomplishment of a task.

4. *Oral communication.* Ability to make clear oral presentation of facts or ideas.

5. *Organizational ability.* Ability to plan, schedule, and control the work of others; skill in using resources in an optimal fashion; ability to deal with a volume of paperwork and heavy demands on one's time.

6. *Problem analysis.* Ability to seek out relevant data and analyze complex information to determine the important elements of a problem situation; searching for information with a purpose.

7. *Sensitivity.* Ability to perceive the needs, concerns, and personal problems of others; skill in resolving conflicts, tact in dealing with people from different backgrounds; ability to deal effectively with people concerning emotional issues; knowing what information to communicate and to whom.

8. *Stress tolerance.* Ability to perform under pressure and during opposition; ability to think on one's feet.

9. *Written communication.* Ability to express ideas clearly in writing; to write appropriately for different audiences—students, teachers, parents, and others.

10. *Educational values.* Possession of a well-reasoned educational philosophy; receptiveness to new ideas and change.

11. *Personal motivation.* Need to achieve in all activities attempted; evidence that work is important to personal satisfaction; ability to be self-policing.

12. *Range of interests.* Competence to discuss a variety of subjects: educational, political, current events, economic, etc.; desire to actively participate in events. (National Association of Secondary School Principals, 1985, p. 16).

NASSP's University Consortium was not only interested in the skills required of school principals, but in how university preparation programs develop those skills. The Consortium recommended that preparation programs focus their efforts on skill development, with emphasis on performance-based activities.

A year and a half after publication of the "red book," the Consortium provided an update on its activities (Erlandson, 1986). This report reviewed the steps that had been taken to disseminate Consortium findings and the reception that its proposals had received. It was noted that while principals generally applauded these findings, the Consortium found that many professors questioned the practicality of implementing these proposals in a period of declining resources for higher education. They also found a substantial minority of professors who questioned whether the Consortium's recommendations really suggested anything much different from what they were already doing.

The report went on to describe briefly the Consortium's strategy for addressing these two concerns—redundancy and excessive cost. First, a series of surveys of present and promising practices were planned to determine if, as some professors contended, performance-based programs were already in place. Second, to address the question of excessive cost, case studies of performance-based programs were proposed to determine if the Consortium's recommendations could be implemented in a cost-efficient manner.

The results of these surveys and case studies are reported in the remainder of this volume. Also described are some of the research and development activities that have been occurring at one of the Consortium universities (more specifically through the Principals' Center at Texas A&M) to better enable principals and the universities that prepare them to interact more productively with the school environment in which principals work.

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Chapter
2

Performance-Based Preparation of Principals: The Texas Study

Laurie Witters-Churchill

Principals are often the harshest critics of formal administrator preparation. Efforts to improve existing preparation programs have been made by professional associations, universities, and principals themselves. For example, NASSP's University Consortium for the Performance-Based Preparation of Principals, in its 1985 special report, *Performance-Based Preparation of Principals: A Framework for Improvement*, focused on the design, delivery, and analysis of instruction in principal preparation programs. This report, commonly known as the "red book," suggested strategies for linking traditional classroom programs with clinical and field based experiences.

The logical extension to the NASSP University Consortium's "red book" model was an evaluation of the current practices of university preparation programs with regard to implementation of a performance-based model. Because principals and assistant principals are likely to perceive their own preparation differently from university faculty, the Consortium commissioned a study with this focus.

Method

Survey methods were used to estimate perceptions of principals and assistant principals in Texas. Nine of the 12 generic skills evaluated by the NASSP Assessment Center were selected for investigation: problem analysis, written communication, sensitivity, judgment, oral communication, stress tolerance, decisiveness, organizational ability, and leadership.

Four hundred Texas principals and assistant principals (public elementary,

middle, and high schools) were randomly selected using stratified cluster sampling procedures and were sent a written questionnaire. A sample this size enabled the researcher to obtain a 95% confidence level with a bound on the error of estimation of less than +/- 5% for bivariate distributions. After three mailings, 82.1% usable responses were received.

Research Questions

1. To what extent were the nine generic skills developed in the university preparation programs of Texas principals and assistant principals?
2. What instructional modes were used to develop these nine generic skills?
3. How effective were the instructional modes used ?
4. What instructional modes do Texas principals and assistant principals believe should be utilized?

Respondents were given a list of instructional modes from which to select their responses. These included "clinical study," "computer-assisted instruction," "games and simulations," "group process training," "individual and team research," "instructional modules," "internships," "lecture and discussion," "tutorials and seminars," and "other." These instructional modes had been identified and defined in NASSP's "red book" framework.

Additionally, several open-ended questions allowed respondents to make recommendations about ideal university preparation programs. Response to these questions was optional; 142 principals and assistant principals chose to respond. From these written responses, 40 "informed" respondents were identified based upon the depth and creativity of their recommendations. Each of the 40 respondents selected in the "informed subsample" was telephoned to elicit more discussion about the improvement of preparation programs.

Written Questionnaire Responses

Survey respondents indicated that the skills were developed in their formal university preparation programs to a "moderate" extent. Modal responses for eight of the nine skills suggested that these skills were moderately developed (from a choice of "not," "slightly," "moderately," or "highly"). Only "stress tolerance" was not developed in university preparation programs.

"Lecture and Discussion" was identified as the most frequently used instructional mode. Only for "written communication" was a different instructional mode—"individual and team research"—used most frequently. When respondents were asked to rate the effectiveness of the instructional modes used, however, they generally agreed that "lecture and discussion" was only minimally to moderately effective. The "internship" was the overwhelming favorite of respondents when asked to select the instructional mode that should be used in the development of the nine skills. The only skill that differed was, again, "written communication," in which

"individual and team research" was selected as the ideal instructional mode. In the cases in which respondents said that the internship was used in the development of a particular skill, the internship was considered a moderately to highly effective instructional mode.

The finding that "lecture and discussion" dominates in university preparation programs is not surprising; nor is the finding that these principals and assistant principals would have preferred increased and better use of internships for skill development. Many researchers and professors have argued the importance of field based training (e.g., Erlandson, 1979; McCleary, 1980; National Association of Secondary School Principals, 1970). Principals and assistant principals interviewed by telephone in the present study were especially concerned about the quality and quantity of their field based experiences.

After internship, instructional modes most preferred were "clinical study," "computer-assisted instruction," "instructional modules," "group process training," and "games and simulations." These selections reflect interest in instructional modes which allow for performance-based skill development. "Lecture and discussion" was not among the top three choices for any skill. Consistent with adult learning theory, the selected modes enhance learning by putting control of the learning situation in the hands of the learner (see Table 2-1 for the summary modal value responses for each of the nine generic skills).

Respondents were asked in an open-ended question to identify the single most important way to improve graduate instruction in educational administration departments. Four major recommendations emerged:

1. **Improve and/or increase instruction of specific job related skills**. The respondents suggested that graduate courses should increase and improve the instruction of skills. Among the skills mentioned were "real-life" situations, such as scheduling, filling out forms, teacher evaluations, budgeting, communication, motivation, managing conflict, and managing discipline.
2. **Improve and extend opportunities for experience in the field**. The respondents said that an upgraded and/or extended field experience is the most significant way to improve graduate preparation in educational administration. Principals and assistant principals cited longer, better supervised, full time and paid internships as ways to improve this component of graduate instruction.
3. **Provide practice-oriented university staff**. Principals and assistant principals believed that a more practice-oriented faculty is the key to improved graduate training in educational administration. Several respondents suggested that university professors need to concentrate on keeping up-to-date with the field and to have periodic experience in the field. Others stated that educational administration departments should seek more input from, and employ more practicing principals to teach graduate courses.

4. **Improve and/or increase instruction of generic skills.** Respondents suggested that instruction in general administration skills such as leadership, problem-solving, goal-setting, and individual counseling, be developed.

Table 2-1
Summary Modal Values for Each of the Nine Generic Skills in the Texas Study

Skill	Extent Developed	Instructional Modes used (Number of Responses)	Effectiveness of Modes	Ideal Modes (Number of Responses)
Problem Analysis	Moderate	Lecture & Discussion (89) Group Process (47) Research (40)	Moderate Moderate Moderate	Internship (39) ClinicalStudy (13) Group Process (11) Research (1)
Written Communication	Moderate	Research (56) Lecture & Discussion (44) Internship (18)	Moderate Minimal Mod/High	Research (30) CAI (14) Instruction Modules (14)
Sensitivity	Moderate	Lecture & Discussion (49) Group Process (32) Games/Simulations (28)	Moderate Moderate Moderate	Internship (27) Group Process (23) Games/Simulations (19)
Judgment	Moderate	Lecture & Discussion (80) Group Process (39) Internship (39)	Moderate Moderate Moderate	Internship (33) Group Process (17) Games/Simulations (17)
Oral Communication	Moderate	Lecture & Discussion (59) Research (31) Group Process (30)	Moderate Moderate Moderate	Internship (25) Group Process (17) Games/Simulations (17)
Stress Tolerance	Not	Lecture & Discussion (28) Group Process (18) Internship(tie)(10) Games/Simulations(tie)(10)	Min/Mod Moderate High Minimal	Internship (29) Games/Simulations(22) Group Process (17)
Decisiveness	Moderate	Lecture & Discussion (73) Research (46) Internship (43)	Moderate Moderate High	Internship (43) Clinical Study (13) Games/Simulations(10) Group Process (100)
Organizational Ability	Moderate	Lecture & Discussion (63) Research (36) Internship (31)	Moderate Moderate High	Internship (48) Clinical Study (12) CAI (11)
Leadership	Moderate	Lecture & Discussion (60) Group Process (41) Internship (36)	Moderate Moderate Moderate	Internship (42) Group Process (16) Clinical Study (9) Games/Simulations(9)

Telephone Interviews

Forty respondents to the written questionnaire were selected for inclusion in an "informed subsample." Each of these respondents had indicated willingness to take part in telephone interviews. These interviews lasted from 15 minutes to one hour and allowed the respondents to elaborate on their opinions regarding improvement of existing university preparation programs. The most fertile data of this study were collected in these telephone interviews. Consistent with the written questionnaire, the internship was a primary theme of these conversations.

A telephone script was created to serve as a loose guide for these interviews. In general, the following questions were asked of the respondents:

1. What could your administrator preparation program have done better to help prepare you for your current professional role?
2. In your postal questionnaire you identified _____as the single most important way educational administration departments could improve the preparation of principals. In what ways could/should this suggestion be implemented?
3. How should principal preparation programs change to meet the future needs of practicing principals?
4. The information you have shared in this interview will be used to direct program planning for university administrator preparation. With this in mind, is there anything else you would like to suggest?

Four major themes emerged from these telephone interviews:

1. **Improve and/or Extend Opportunities for Field-Based Training.** The predominant topic that these principals and assistant principals raised was the administrative internship. The respondents were concerned about the quality of the internship experience and the need for on-the-job training. They desired more and higher quality internships and other types of practical experience. They frequently stated that a better internship was the most important way to improve preparation programs. Further, the respondents desired better supervision from the university professors and expressed the need for full-time, paid internships.
2. **Provide Current Instruction.** In addition to a better internship experience, the interview respondents desired a current curriculum presented by professors who were up-to-date with issues in the field. They believed that practicing administrators should be used as resources. These practicing administrators should lead discussions about current problems and solutions, and should report what it is "really like on the firing line."
3. **Provide Practical Course Content.** The members of the "informed subsample" preferred practical content to "theory." They desired courses

dealing with "real life." They asked for time doing "hands on activities, not writing papers." One principal recommended that for every course in theory, there should be a lab course for practice or implementation of the theory. The respondents indicated that courses in public school law were valuable; increased emphasis on teacher appraisal, public relations, and computers was also recommended.

4. **Develop Job-Related Generic Skills.** Respondents resoundingly recommended that specific, generic skills be enhanced in preservice preparation programs. "Leadership" was the skill most desired, followed closely by "Interpersonal Skills." Other skills and abilities mentioned were time management, oral and written communication, delegation, dealing with change, and stress tolerance.

Discussion

Texas principals and assistant principals have specific recommendations to improve the preservice preparation programs of principals. In general, they believe these programs should be more field- and performance-based, and should include development of practical skills. One of the areas of greatest concern was the internship. Nearly every principal in the follow-up interviews urged that the internship be improved and extended. This need has previously been recognized and identified by numerous practitioners, researchers, and theorists.

Texas principals and assistant principals were also nearly unanimous in their desire for more preservice development of practical skills. The most commonly used mode of instruction, "lecture and discussion," was generally considered to be ineffective for this skill development. For each of the nine generic skills of the NASSP Assessment Center examined in the present study, the "internship," was identified as the ideal instructional mode, with the exception of "written communication," in which "individual and team research" was cited. Second to the internship, field-and performance-based activities such as "clinical study," "group process training," "games and simulations," and "computer-assisted instruction" were frequently cited as the ideal instructional modes for developing these nine skills. In general, these instructional modes are not currently being widely used.

The framework for improvement presented by NASSP's University Consortium (National Association of Secondary School Principals, 1985) proposed that universities become more performance-based in their preservice principal preparation programs. In an attempt to attack the theory-practice dilemma, NASSP's Consortium suggested a number of "bridging procedures" to assist the learner in applying the conceptual learning of the classroom to the requirements of professional practice. The present study was the first large scale attempt to determine if the Consortium's recommendations are being applied.

The results of this study are somewhat discouraging, since little evidence of the Consortium's influence was apparent. Because this study was undertaken within a few years of the publication of the "red book," recent improvements in university

preparation programs may not be reflected in these results. Replications of this study have more recently been undertaken in Michigan and New York, however, and the preliminary data indicate similar findings (see Chapter 3). This is especially disturbing in Michigan, where new state requirements mandating certification standards for school administrators have focused recent attention and improvement efforts on university preparation programs there.

Erlandson (1986) reports that the initial responses to the "red book" proposals by the university professors of these preparation programs, while generally positive, indicate that these professors believe that (a) they are already implementing the recommendations of the Consortium, or (b) the recommendations are not feasible and/or are too expensive.

In a follow-up study to the "red book," Engel (1989) examined the content and methods of instruction in preparation programs in Michigan to determine the degree to which they are performance-based. His findings suggest that the universities in his study do not develop the generic skills of students on a performance basis. "Lecture and discussion" was found to be the primary method of instruction used in these programs (see Chapter 4 for a complete discussion of this study). Several exemplary university programs do offer training for principals which is largely field- and performance-based. Gagne (1989) examined four of these programs, and concluded that the implementation of the "red book" model has resulted in innovative performance-based principal preparation programs (see Chapter 5 for a complete discussion of this study). The present study and the related research reported in this monograph indicate that although preparation programs for principals have not generally met the needs of practitioners, recommendations have been made for improvement and there is some evidence that those recommendations have been and are being followed .

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Chapter
3

The Michigan and New York Studies

Linda Berk Voit &
Laurie Witters-Churchill

The Texas Study reported in Chapter 2 considered a basic question: "How well are the recommendations of the NASSP University Consortium for the Performance-Based Preparation of Principals being implemented?" Those recommendations, advocating increased emphasis on linking traditional classroom practices with clinical and field-based experiences, were clearly not being implemented in Texas. It was the perception of practicing principals and assistant principals that skill development, measured on a performance basis, was inadequate, or even non-existent, in their university preparation.

The Texas Study provided a model for replication. To date, two such replications have been conducted. Follow-up studies in Michigan and New York produced strikingly similar results, reinforcing the notion that perceptions of inadequate preparation of principals are common in states other than Texas. This chapter reviews the Michigan and New York studies, and discusses the implications, particularly in light of their similarities with each other and with the Texas Study. Results of the Michigan Study are especially interesting since administrative certification was not required in Michigan at the time of the survey.

The Michigan Study

The purpose of the Michigan Study was to replicate, with some revisions, the completed Texas Study. The same basic questions dealing with nine of the generic skills of NASSP's Assessment Center were asked:

1. To what extent were the nine generic skills developed in the university preparation programs of (Michigan) principals?
2. What instructional modes were used to develop these nine generic skills?
3. How effective were the instructional modes used toward the development of these nine generic skills?
4. What instructional modes do (Michigan) principals believe should be utilized in the instruction of these nine generic skills?

In Michigan, Voit (1989) began with NASSP's "framework for improvement" in its "red book," and with the Texas Study, which was then in progress. She developed a replication, with several revisions, of the Texas study. The most notable difference between the Texas and Michigan studies was that the Michigan study surveyed only principals and not assistant principals.

Method

Survey methods were used to estimate perceptions of the 3,202 principals from the Michigan public schools during the Spring of 1988. Stratified sampling was used to select randomly 347 practicing principals from elementary, middle, and high schools listed in the 1987 edition of the Michigan Education Directory and Buyer's Guide. These potential respondents were sent a written questionnaire in a format similar to that used in the Texas Study. A sample this size enabled the researcher to obtain a 95% confidence level with a bound on the error of estimation of +/-5% for bivariate distributions when the questionnaire was considered as a whole.

Of the 347 samples, 48% responded after two mailings. These results were compiled and analyzed. Further, from respondents who indicated willingness, 10% of the principals sampled were selected for follow-up telephone interviews. Criteria developed by Witters-Churchill (1988) for use in the Texas Study were followed in the selection of this "informed subsample." The telephone interview script used in the Texas Study was used with only minor modifications. Because of the low response rate (48%) the Michigan results should be considered with caution.

Results

1. **To what extent were the nine generic skills developed in the administrator preparation programs of Michigan principals?**
   Based upon modal values of the responses, principals reported moderate development of four of the nine generic skills (judgment, leadership, organizational ability, and problem analysis). Three skills were considered to have been slightly developed (decisiveness, sensitivity, and written communication). Principals perceived two skill areas (oral communication and stress tolerance) as not developed. In the Texas Study, only stress tolerance was perceived as "not developed" by most of the respondents. All other skills were considered to be moderately developed.

2. **What instructional modes were used to develop these nine generic skills?**
   As in the Texas Study, "lecture and discussion" was the most frequently used instructional mode in the development of seven generic skills (decisiveness, judgment, leadership, oral communication, organizational ability, problem analysis, stress tolerance). "Group process training" was the most frequently used mode in the development of sensitivity, with "lecture and discussion" also frequently used. To develop written communication, "individual and team research" was most frequently used, but "lecture and discussion" was ranked second.
3. **How effective were the instructional modes in the development of these nine generic skills?**
   Although "lecture and discussion" was the most frequently used mode in the attempt to develop the nine generic skills, it was not viewed as very effective. In general, "lecture and discussion" was only viewed as minimally to moderately effective. Other modes when used, however, were seen as moderately to highly effective. Usually the "internship" was seen as highly effective in the development of these skills (leadership, problem analysis), or at least moderately effective (written communication) when it was used. Generally, the "internship" was not one of the three most frequently used modes to develop these skills. Most other instructional modes were viewed as moderately effective in the development of these skills.
4. **What instructional modes do Michigan principals believe should be utilized in the development of these nine generic skills?**
   The "internship" was considered to be the ideal instructional mode for seven of the nine skills by the Michigan principals. Only for oral communication and sensitivity was "group process training" selected as the ideal instructional mode by most respondents. Again, this is consistent with the Texas Study, in which "internship" was selected as the ideal mode for all skills except written communication, in which "individual and team research" was selected. It is important to note that, although the internship was a favored instructional mode, it was never the most frequently used mode, nor was it often among the three most frequently used modes. See Table 3-1 for the summary modal values for the nine generic skills in the Michigan Study.

Voit (1989) also asked several open-ended questions of the Michigan principals. These, and the follow-up telephone interviews, revealed similar themes to the responses by Texas principals and assistant principals. In summary, the Michigan principals believed that the internship is the ideal instructional mode for developing most skills. They recommended an improved and increased requirement of field-based experiences (internship, externship, and cohort opportunities). The Michigan respondents also asked for a practical curriculum delivered by professors having credible, first-hand, educational knowledge and experience.

The New York Study

The New York Study was conducted during 1989 at the State University of New York at Plattsburgh by John Haubner under the direction of James Ashe (Haubner, 1989). It was presented at the NASSP Annual Convention in San Diego, California in February, 1990, and at the NAESP Annual Convention in San Antonio, Texas in April, 1990 (see Ashe & Troisi, 1990).

The New York Study was a close replication of the Texas Study. The purpose of this survey, like the Texas and Michigan surveys, was to study the opinions of New York principals and assistant principals regarding (a) their university administrator preparation programs and (b) their recommendations for how to improve preparation programs in the future. Again, four basic questions were asked regarding the development of nine of the generic skills of the NASSP Assessment Center. Open-ended questions asking for more detailed recommendations regarding formal university preparation of principals were also included. Like the Texas Study, the population consisted of public school principals and assistant principals throughout the state.

Method

A representative sample of 400 public school principals and assistant principals in New York was selected from the 3,845 New York elementary, middle, and high school campuses. The principals and assistant principals were sampled proportionately within the total population of 6,675 administrators using the New York State Education Department's computerized information (BEDS). The entire state, including New York City, was included in the sampling frame. In replication of the Texas Study, the sampling error was +/-5% with a confidence coefficient of 95%.

All 400 principals and assistant principals selected were sent a written questionnaire nearly identical to those used in the Texas and Michigan studies. After two follow-up mailings, 254 usable responses were obtained for a response rate of 64%. As in the Texas and Michigan studies, the open-ended questions on the written questionnaire were included; however, follow-up telephone interviews were not conducted in New York.

Results

The responses to the New York Study further confirmed the beliefs of the Texas and Michigan respondents. Although several minor variations in the responses were present, similar views were expressed by the New York, Michigan, and Texas principals and assistant principals.

1. **To what extent were the nine generic skills developed in the administrator preparation programs of New York principals and assistant principals?**
   Five of the generic skills (problem analysis, judgment, oral communication, decisiveness, and leadership) were thought to have been moderately developed according to the modal values of the total responses. The other four generic skills (written communication, sensitivity, stress tolerance, and decisiveness)

Table 3-1
Summary Modal Values for Each of the Nine Generic Skills in the Michigan Study

Skill	Extent Developed	Instructional Modes Used (Number of Responses)	Effectiveness of Modes	Ideal Modes (Number if Responses)
Problem Analysis	Moderately	Lecture & Discussion (36) Group Process Training (22) Individual & Team Research (15)	Moderately Moderately Moderately	Internship (17) Clinical Study (8) Group Process Training (7)
Written Communication	Slightly	Individual & Team Research (23) Lecture & Discussion (23) Tutorials/Seminars (8) Internship (4) Instructional Modules (4)	Moderately Min./Mod. Moderately Minimally	Internship (9) Research (8) Games/Simulations (7) Instructional Modes (7)
Sensitivity	Slightly	Group Process Training (20) Lecture & Discussion (13) Games & Simulations (13)	Moderately Moderately Minimum	Group Process Training (17) Internship (12) Games & Simulations (7)
Judgement	Moderately	Lecture & Discussion (41) Group Process Training (22) Individual & Team Research (18)	Minimally Moderately Moderately	Internship (19) Clinical Study (8) Group Process Training (5)
Oral Communication	Not Developed	Lecture & Discussion (22) Group Process Training (19) Games & Simulations (12)	Minimally Moderately Moderately	Internship (15) Group Process Training (21) Other (8))
Stress Tolerance	Not Developed	Internship (5) Lecture & Discussion (11) Tutorials/Seminars (4)	Moderately Moderately Moderately	Internship (22) Games & Simulations (12) Group Process Training (7)
Decisiveness	Slightly	Lecture & Discussion (35) Group Process Training (18) Individual & Team Research (15)	Min./Mod. Mod./High Moderately	Internship (19) Group Process Training (7) Games & Simulations (6)
Organizational Ability	Moderately	Lecture & Discussion (26) Individual & Team Research (12) Group Process Training (11)	Moderately Moderately Moderately	Internship (19) Other (8) Research (7)
Leadership	Moderately	Lecture & Discussion (26) Group Process Training (16) Individual & Team Research (13)	Minimally Moderately Moderately	Internship (17) Process Training (8) Other (7)

were not developed in the programs of most responding New York principals and assistant principals. Few respondents believed that any skill had been highly developed in their university preparation. In all three states, stress tolerance was found by most respondents to be not developed.

2. **What instructional modes were used to develop these nine generic skills?**
   The instructional mode used most frequently to develop the generic skills of New York principals and assistant principals was once again "lecture and discussion." It was cited as most frequently used in the development of problem analysis, judgment, oral communication, decisiveness, organizational ability, and leadership. Only for sensitivity ("group process training,") stress tolerance ("internship,") and written communication ("individual and team research,") were different instructional modes used more frequently for most respondents. For those skills, "lecture and discussion" was cited as either the second or third most frequently used instructional mode. Also, sensitivity, stress tolerance, and written communication were not developed at all in the programs of most responses.
3. **How effective were the instructional modes in the development of these nine generic skills?**
   In general, when "lecture and discussion" was the most frequently used instructional mode in the development of a skill, it was considered to be only minimally to moderately effective. The "internship," when used, was considered to be moderately to highly effective. Most other instructional modes were cited as moderately effective. These results are consistent with both the Texas and the Michigan studies.
4. **What instructional modes do New York principals and assistant principals believe should be utilized in the development of these nine generic skills?**
   New York principals and assistant principals resoundingly recommended that the "internship" be the primary instructional mode for the development of most generic skills. Only for the skill "sensitivity" was a different mode, "group process training," suggested as the ideal mode. This is almost identical to the responses from Texas principals and assistant principals and Michigan principals. The summary modal values for the New York Study are provided in Table 3-2. (See Table 2-1 for the summary modal values for Texas respondents and Table 3-1 in for the summary modal values for Michigan respondents.)

New York principals and assistant principals also were given the opportunity to make recommendations for improving university preparation programs. Forty of the respondents were selected as an "informed subsample" based upon their written responses to the open-ended questions. These respondents made recommendations which fell into four general categories:

1. Provide instruction in specific job-related skills.

2. Provide field-based university instructors.
3. Improve internships.
4. Improve instruction of generic skills.

Some of the actual responses are as follows:

"make relevant to the day-to-day administration in the school"
"avoid lecture as the dominant mode of instruction"
"professors should be practicing or former (recent) administrators"
"tighten requirements of internship and make applicable"
"less time on theories and models—more on the practical"
"stress realistic concerns, both long and short term, in a manner which promotes planning and emphasis on leadership"
"emphasize skills such as judgment, communication, and managing stress

Table 3-2
Summary Modal Values for Each of the Nine Generic Skills in the New York Study

Skill	Extent Developed	Instructional Modes Used (Number of Responses)	Effectiveness of Modes	Ideal Modes (Number if Responses)
Problem Analysis	Moderately	Lecture & Discussion (51) Internship (40) Group Process Training (26)	Minimally Highly Moderately	Internship (31) Individual & Team Research (10) Games & Simulations (9)
Written Communication	Not Developed	Individual & Team Research (26) Internship Lecture & Discussion (18)	Moderately Moderately Min /Mod	Internship Research (13) Instructional Modules (9)
Sensitivity	Not Developed	Group Process Training (29) Lecture & Discussion (28) Games & Simulations (20)	Moderately Moderately Moderately	Group Process Training (24) Internship (21) Games & Simulations (15)
Judgement	Moderately	Lecture & Discussion (59) Internship (39) Group Process Training (35)	Moderately Highly Moderately	Internship (42) Clinical Study (15) Group Process Training (15)
Oral Communication	Moderately	Lecture & Discussion (32) Group Process Training (32) Games & Simulations (25)	Min /Mod Moderately Moderately	Internship (25) Games & Simulations (16) Group Process Training (15)
Stress Tolerance	Not Developed	Internship (17) Group Process Training (17) Lecture & Discussion (13)	Moderately	Internship (38)
Decisiveness	Moderately	Lecture & Discussion (51) Internship (30) Games & Simulations (20)	Min /Mod Mod /High Moderately	Internship (43) Group Process Training (10)
Organizational Ability	Not Developed	Lecture & Discussion (50) Internship (29) Individual & Team Research (18)	Minimally Highly Min /Mod	Games & Simulations (8)
Leadership	Moderately	Lecture & Discussion (50) Internship (37) Group Process Training (25)	Minimally Mod /High Moderately	Internship (37) Process Training (21) Games & Simulations (11)

Discussion

Respondents to the Texas, Michigan, and New York studies had similar experiences in their formal university preparation programs as expressed in survey responses. In the views of these administrators, skill development was moderate, but a generally ineffective instructional mode, "lecture and discussion," was the most frequently used.

The ideal mode for skill development, according to respondents, is the "internship." When used, it was generally considered to be highly effective, but it was used much less frequently than "lecture and discussion" for skill development. Further, responses to open-ended questions and telephone interviews suggested that principals and assistant principals would have liked more intense and improved internship experiences. Much literature and discussion in educational administration have focused on the internship. Few professors or practitioners disagree that the internship is a major area of concern in formal university preparation. But the present studies suggest that while practicing administrators desire better internships, in reality the internship is under- or poorly-utilized.

In conclusion, there is still a chasm between what practitioners want from university administrator preparation programs and what they are receiving. Findings from studies in three major states suggest that this is a national problem. Additional study in other states will likely support what has been found in Texas, Michigan, and New York. Perhaps that confirmation is what is needed to push universities into serious consideration of the views of practicing administrators.

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Chapter
4

An Analysis of the Content and Methods of Instruction at Michigan Institutions That Prepare Principals

Thomas Engel

The purpose of this study was to analyze systematically the content and the methods of instruction of principal preparation programs in Michigan. This corresponds with one of the objectives the Michigan Academy for Principal Preparation (MAPP) (1986) listed in its proposal for funding from the Kellogg Foundation. This study, under MAPP sponsorship, answers three specific questions:

1. To what extent do the programs develop the generic skills required of principals?
2. To what extent do the programs develop the specific skills required of principals?
3. What are the dominant methods of instruction throughout the programs?

Framework of the Study

The framework around which the study was constructed was a set of rating exercises developed by the Consortium for the Performance-Based Preparation of Principals of the NASSP and described in their 1985 monograph, *Performance-Based Preparation of Principals: A Framework for Improvement* (National Association of Secondary School Principals, 1985). A faculty liaison from each of the five MAPP

institutions participating in the study selected a team of six raters—two faculty, two graduates, and two students—to analyze the classes required at their university for those preparing for the principalship. Raters had to determine the level—FAMILIARITY (the ability to discuss course content intelligently), UNDERSTANDING (the capability to teach the content to someone else), or APPLICATION (the actual performance in real or simulated situations)—to which the generic and the specific skills required of principals were emphasized in each class. Primary and secondary methods of instruction were also identified. The individual raters later convened for a meeting in order to arrive at consensus ratings. Ratings from the five universities were then consolidated to develop a general description of principal preparation in the state.

Consensus

In the consensus ratings, a particular rating was assigned to any skill which has been so rated by at least four of the six raters (See Table 4-1). If, even after the consensus discussion, fewer than four of the raters were in agreement, the individual ratings were assigned numerical values (Column A) and a final rating was given based on the total of the individual ratings (Column B). In order to aggregate the findings from the five universities, this range was divided by six to create a range for individual ratings (Column C). Based on these ranges the total value of the ratings in any area of the matrices can be divided by the number of raters in order to have a common basis for comparison regardless of the differing number of raters. This process for aggregating ratings is summarized in Table 4-1.

Table 4-1
Aggregation of Ratings

Level of Skill Development	A Individual Ratings	B Range for six raters	C Range ÷ 6
N (None)	0	0-3	0.00 - 0.57
F (Familiarity)	1	4-9	0.58 - 1.57
U (Understanding)	2	10-15	1.58 - 2.57
A (Application)	3	16-18	2.58 - 3.0

Generic Skills

In Table 4-2 all of the ratings associated with each generic skill (National Association of Secondary School Principals, 1985) from the five universities have

been aggregated. This information provided the most direct answer to the first question which the study sought to answer. Of the 12 generic skills, the ratings indicate that seven have been treated at the Understanding level. "Decisiveness," "Stress Tolerance," "Range of Interests," and "Personal Motivation" have been treated at the Familiarity level. Only "Written Communication" has been treated at the Application level.

Table 4-2
Analysis of Generic Skill Ratings

Generic Skill	A	U	F	N	Final Rating
Problem Analysis	24	16	5	0	2.42 = U
Judgement	18	18	9	0	2.20 = U
Organizational Ability	11	21	12	1	1.93 = U
Decisiveness	11	12	13	9	1.56 = F
Leadership	9	22	8	6	1.76 = U
Sensitivity	13	15	14	3	1.84 = U
Stress Tolerance	6	8	17	14	1.13 = F
Written Communication	36	9	0	0	2.80 = A
Oral Communication	30	8	7	0	2.51 = U
Range of Interests	5	15	12	13	1.27 = F
Personal Motivation	4	9	16	16	1.02 = F
Educational Values	13	23	5	4	2.00 = U

Of the 540 individual ratings for generic skills, 176 (32.6%) were at the Understanding level and 180 (33.3%) were at the Application level. One hundred and eighteen (21.9%) ratings were for the Familiarity level, and 66 (12.2%) of the responses were No Emphasis.

Specific Skills

In Table 4-3 all of the ratings associated with each specific skill (Fitzgerald, Schmitt, & Meritt, 1979) from the five universities have been aggregated. This information provides the most direct response to the second question which the study sought to answer. Of the nine specific skills, the ratings conclude that none has been treated at the Application level. "Curriculum and Instruction," "Staff Selection, Evaluation, and Development," "Community Relations," and "Structures Communication" have been treated at the Familiarity level.

Of the 405 individual ratings for specific skills, 140 (34.6%) were for the Familiarity level and 139 (34.3%) were for the Understanding level. The third most frequent response was No Emphasis with 67 (16.5%), and the least mentioned rating was Application with 59 (14.6%).

Table 4-3
Analysis of Specific Skill Ratings

Specific skill	A	U	F	N	Final Rating
Curriculum and Instruction	11	20	12	2	1.89 = U
Student Activities	4	14	15	12	1.22 = F
Support Services	3	16	18	8	1.31 = F
Staff Selection, Evaluation and Development	10	14	13	8	1.58 = U
Community Relations	5	22	15	3	1.64 = U
Coordination With District and Other Schools	3	17	21	4	1.42 = F
Fiscal Management	9	6	20	10	1.31 = F
School Plant Maintenance	2	8	15	20	0.82 = F
Structures Communication	12	22	11	0	2.02 = U

Methods of Instruction

The findings support the conclusion that the primary method of instruction (McCleary & McIntyre, 1972) in each component area is Lecture-Discussion. The most frequently cited secondary method was Individual/Team Research, followed by Gaming-Simulation and Tutorial-Seminar. The least frequently cited method was Clinical-Internship. A wide range of secondary methods was found only in classes associated with "Curriculum Development," "School Improvement," and "Leadership Skills".

The aggregated findings with regard to methods of instruction from the five universities are presented in Table 4-4. On this table, the method most frequently cited for a component area is indicated by a one; any other methods which were cited at least twice are indicated by a two.

These findings are organized around the required components in the Michigan certification code.

Table 4-4
Methods of Instruction

INSTRUCTIONAL MODES

SPECIFIC SKILLS	LECTURE-DISCUSSION	TUTORIAL-SEMINAR	INSTRUCTIONAL MODULE	COMPUTER-BASED	GAMING-SIMULATION	INDIVIDUAL OR TEAM RESEARCH	CLINICAL INTERNSHIP
CURRICULUM DEVELOPMENT	1	2	2		2	2	
SCHOOL IMPROVEMENT	1	2			2	2	
SCHOOL FINANCE	1				2	2	
SCHOOL LAW	1				2	2	
COMMUNITY RELATIONS	1					2	Group Process
PERSONNEL MANAGEMENT	1					2	2
LEADERSHIP SKILLS	1	2			2	2	
INSTRUCTIONAL SUERVISION	1				2	2	
ADULT & COMMUN-ITY EDUCATION							
OTHER	1			2			

1 - primary mode, 2 - secondary mode

Conclusions

The findings of the rating exercises at the five universities, support the following conclusions:

1. In regard to the first question on generic skills, programs for the preparation of principals at the universities in this study do not in general develop the generic skills of students on a performance basis to a high degree.

A report by the Southern Regional Education Board (1986) states that the most important element in principal effectiveness is the degree to which that principal demonstrates mastery of a set of core skills. Unfortunately, many other studies (Goodlad, 1984; Griffiths, 1977; National Commission on Excellence in Educational Administration, 1987) report that too often principals lack these requisite skills and that their preparation programs were devoid of clinical experiences and performance opportunities by which to develop them. The findings of this study conclude that this situation continues to exist in the principal preparation programs in Michigan. The raters reported that of the generic skills required of principals only "Written Communication" was treated at the Application level. This skill involves demonstrating the ability to express clearly and appropriately for multiple audiences and provide the critique and feedback necessary to make improvement. However, even in this one case, raters may not always have held to this definition of Application, but rather may have merely responded to the typical need to submit written reports as a class requirement. In Chapter 2, Witters-Churchill reviews her 1988 survey of Texas principals regarding their preparation programs. The respondents in her study indicated that for the generic skills of the NASSP Assessment Center the extent of skill development provided by their preparation ranged from "None" to "Moderate" with no skills judged to be "Highly" developed. Chapter 3 indicates that replications of this study in Michigan and New York produced comparable findings.

2. In regard to the second question on specific skills, programs for the preparation of principals at the universities in this study do not in general develop the specific skills required of principals on a performance basis to a high degree. In fact, the programs place considerably less emphasis on the specific skills that are required in the operation of schools than on the generic skills. Very few opportunities are provided to "perform" the practical aspects of the principalship.

In a report of principal's perceptions of their preparation, Maher (1988) found that building administrators placed greatest importance on those classes taken during their university preparation, which emphasized the technical, practical skills required on a day-to-day basis. In this study the raters reported that of the nine specific skills required of principals none was presented at the Application level. In spite of calls for administrator preparation to be more performance-based (Hoyle, 1985; National Association of Secondary School Principals, 1985), it appears that the goal has yet to be achieved.

3. In regard to the third question on instructional methods, the dominant method of instruction in principal preparation programs, across all courses and all universities,

is Lecture-Discussion. Performance-based elements are in evidence only secondarily. Internships, which some consider to be the preferred method of preparation and which Thomson (1988) describes as "essential to the adequate preparation for the job" (p. 43), are not a required element of the programs in this study.

If preparation programs are to be made more relevant to the needs of principals, a variety of teaching methods—particularly those that stress "doing" rather than listening—must be employed. The findings in this study conclude that while some range of secondary methods of instruction is evident, the primary method remains almost exclusively Lecture-Discussion. This finding corroborates with earlier studies (American Association of School Administrators, 1960; Silver & Spuck, 1978) as well as the Texas (Witters-Churchill, 1988) and Michigan (Voit, 1989) surveys of principals which concluded that the instructional methods used most frequently for each of the generic skills except "Sensitivity" (Michigan Study) and "Written Communication" was Lecture and Discussion. These studies determined further that the principals found the methods of instruction used in their preparation to be "Moderately Effective" at best and that an internship would have been the "Ideal Method" of instruction except for "Written Communication" (Texas Study).

4. The findings of this study (and Voit's study) provide no evidence for concluding that preparation programs in the state of Michigan are performance-based in their objectives, their outcomes, or their instructional methods.

A 1988 national profile of principals (Pellicer, Anderson, Keefe, Kelley, & McCleary) reported that new principals have received a greater amount of preparation than those in previous surveys, with the amount of formal education steadily increasing. This opportunity makes it even more critical that institutions providing the preparation insure that it is meaningful and relevant to the next generation of principals.

Recommendations

Based on the conduct of this study and the conclusions which were developed from its findings, several recommendations can be made to institutions of higher education, to professional organizations, to local school districts, to the Michigan Professional Standards Commission for School Administrators, or commissions named by the State Board of Education, and to similar groups in other states.

1. The fundamental recommendation is that all institutions which prepare principals should adopt performance-based preparation as an essential element in their program objectives. This demands "activities or experiences that require applications of knowledge and skills and explicit demonstration of performance" (National Association of Secondary School Principals, 1985, p. 7).

2. Individual course offerings should be evaluated to see if—without neglecting academic content—a greater emphasis on performance-based preparation is possible and needed. Programs should recognize and address the specific skills required of the principal.

3. Programs which endorse performance-based preparation should encourage

appropriate methods of instruction, including such activities as simulations, internships, practica, case studies, and a valid and reliable assessment center.

4. Programs should assess their students' level of development with regard to the generic and specific skills required of principals throughout their preparation, and efforts should be planned to increase their skills level. When completing a degree program at a university or when seeking certification by a state, students should face a reliable and valid assessment of both their skills and their mastery of knowledge.

5. Institutions of higher education and professional organizations, as well as local school districts, should commit the funds and the personnel needed to develop additional materials for simulations, computer-based instruction, role playing, and other performance-based elements in order to provide meaningful internships, practica, or other field-based experience.

6. Professional organizations that represent principals should urge those agencies that provide either preservice or in-service training to administrators to make such training relevant to the daily work of the principal.

7. Although not studied, other entities which help to develop principals, such as private consultants and locally developed in-service programs, also need to be performance-based in their approach.

8. State boards of education have the ability to impact at all levels of the educational process. These boards then should accept the obligation to monitor principal preparation programs and insure their effectiveness.

9. Since this was the first known use of this systematic rating process on a statewide basis rather than at a single university, the study is recommended for replication, after revision, in other states.

Discussion

The instructors in the studied programs appear to have an overly optimistic view of their performance. Although there were wide differences among the universities, a look at all the ratings reveals that the faculty members gave the highest combined rating in any particular area nearly twice as often as did either the graduates or the students. This is consistent with earlier studies (Silver & Spuck, 1978; Southern Regional Education Board, 1986) which concluded that, while instructors stated that they had emphasized skills and used a variety of methods, the students reported the opposite to be true.

Although the preparation of principals at the universities in this study generally does not yet require the development and demonstration of generic and specific skills, nor do the methods of instruction generally encourage performance-based preparation, some changes in direction are evident. The findings from the individual universities demonstrate different degrees of emphasis on performance; and consensus discussions indicate that at certain institutions, programs—or at least the classes of particular instructors—are now predicated on developing the skills of the NASSP Assessment Center. All volunteered comments from instructors indicate a perceived need for innovation, program review, and revision in administrator preparation programs.

With such works and hints of change in evidence, what prevents the reality of complete change?

An especially strong impression resulting from the study is that the critical variable is the instructor—particularly the differences among instructors. When the same class at a given university is taught by more that one instructor, the ratings are often quite dissimilar. The inconsistency suggested by this may be merely the normal differences in approach that would exist among instructors, but it could also demonstrate that instructors fail to share a common understanding of their program's purposes or that individuals have not yet made a personal commitment to performance-based preparation.

For performance-based preparation of principals to become the norm, institutions will have to make it a definite objective; universities, professional organizations, and local school districts will have to commit the resources for developing performance-based activities as well as internships; and state boards of education will have to encourage and monitor preparation programs. These same bodies will have to find means for ensuring a level of quality in field based experiences that occur in a wide variety of situational contexts. Even with all of these elements in place, however, change ultimately rests with the instructors. Faculty members will have to recognize a need for change and embrace the concept of performance-based preparation. For some this will entail a dramatic change in philosophy and the way in which they conduct their classes.

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Chapter
5

Exemplary University Preparation Programs: Four Case Studies

Mary Gagne

The principal as "leader" is an issue of central concern in American education. Consequently, principal preparation programs have been the target of major research. The National Association of Secondary School Principals (NASSP) has given considerable attention to principal preparation programs through its Consortium for the Performance-Based Preparation of Principals, which has developed performance-based models for principal preparation (National Association of Secondary School Principals, 1985). Performance-based models have raised two criticisms. The first is that the proposals are too costly. The second is that the recommendations duplicate the practices of current principal preparation programs. Therefore, there is a need to study current principal preparation programs to determine whether these approaches are necessarily more expensive, and whether results gained by these approaches would justify additional expense if required.

The programmatic components of four university preparation programs having reputations for their work in performance-based preparation of principals are examined in this chapter. Research processes described in this study follow the naturalistic inquiry method proposed by Lincoln and Guba (1985), and the four case studies were prepared in order to build a framework of successful practices. The stages of the study consisted of (1) a theoretical sampling of universities, professors, and principals; (2) thick description; (3) data evaluation by triangulation and member checks; (4) the development of the case studies; (5) and the formation of a framework of promising practices.

Purposive sampling techniques were used (Glaser & Strauss, 1967) to identify

the population for this study. Consequently, the nomination process required that a member of the NASSP Consortium be consulted to nominate the universities for the population of this study. David Erlandson of Texas A&M University made the original recommendations. Using "gatekeepers" and "informants" as specified in Naturalistic Inquiry, four universities were selected for the study: The University of Utah, Indiana University of Pennsylvania (IUP), The University of Texas, and Texas A&M University. Beginning in the fall of 1986, data were collected to establish a framework for improving principal preparation programs.

Case Studies

For purposes of this chapter, the four extensive and detailed case studies were condensed. Two summary devices are used to conceptualize the meanings of each of the four case studies. First, brief summaries of the findings for each university are presented. Second, a comparison summary of the four universities is given.

The University of Utah

The Utah program proved to be a hybrid performance-based program. It displays an undeniable commitment to the performance-based preparation of principals. This is clearly identified in its internship program, a National Association of Secondary School Principals Assessment Center, a "Design Studio," and a "Skills Center." The Danforth Foundation has funded the "Design Studio" for working on practical problems relating to schools. Districts or schools submit real problems or needs to the university. These become the subjects of coordinated efforts by students to solve. Solutions are kept on record and a data bank of design is kept for future reference. The "Skills Center" has been funded to develop a think tank type of environment for developing skills relating to administration. The university has a ready bank of materials for its Center. It has a large collection of modules developed for its competency-based programs and will add additional materials. Students will be able to practice compensating for weaknesses discovered through assessment of their skills.

Additionally, there is a significant commitment of faculty members to performance-oriented activities in their individual courses. However, there is also a very strong commitment to a traditional course structure of required hours and the primacy of "academic" preparation over field-based experiences. This is verified by the graduates of the program who gave it a strong recommendation for academic preparation but a mixed recommendation for performance-based elements. Those principals who have had strong internship experiences seem to feel that they have achieved performance-based experiences. Those who already had administrative experience but did not receive credit for it toward certification felt the program was not so performance-based.

Funding seems to be a concern of the faculty and leadership. Everyone testified that there is not enough money to compensate students for getting involved in full-

time practice programs. The response by the University of Utah's leadership to balance traditional and performance-based options is exciting. The Design Studio alone offers a strong beginning for improving principal preparation programs.

Indiana University of Pennsylvania (IUP)

The IUP program is thoroughly performance-based. In fact, it was designed with the NASSP "red book" model in mind. It is a textbook case offering a ready example for those schools that do not yet have a principal preparation program. There is only one required course in the program. A program planning committee assesses competencies already achieved by the student and designs a program with the student to attain competencies in areas that are weak. This program includes courses, field work, independent study, seminars, workshops and other activities. The student then completes an approved internship.

The IUP program is vigorously applauded by its graduates. It is cost effective in that it pays for itself and requires no strain on the budgetary limits of the university. The program reveals that state boards of education can be persuaded to take some risk in doing "new things."

There are some important concerns. The program reflects the importance of "leadership" in structuring performance-based programs. Given IUP's size, there is a question of the continuance of the program when Robert E. Millward, the unquestionable "leader," "heart," and "father" of the program, might choose to leave. "He would be a hard man to replace," one of the participants observed.

Another concern regards the scope of the preparation. The IUP program was designed to be 100% practical in terms of serving the specific school districts in its immediate area. IUP does not have a degree program in administration. Therefore, most graduates who pursue the doctorate will find that much of the work they take at IUP will not apply to their doctoral study.

The University of Texas (UT)

The University of Texas makes no claim to be a "performance-based" program in the terms of the NASSP model. However, there are a number of elements that conform to the NASSP standards. These standards include skills assessment and improvement training. The University of Texas has incorporated "practical experiences" modules in their internship programs. Skills are assessed at the beginning of principal preparation, and students' course work is guided in part by the results of skill assessment. The summer program, Foundations in Educatinal Administration, is very practical and hands-on oriented. Class participants feel they receive a real world experience of administration through the project and internship work completed. In fact, there seems to be no criticism of the experiential elements of the UT program. The only consistent criticism is that certain courses in the academic battery are offered too infrequently to facilitate the needs of its students.

The University of Texas program is in the process of redefining the principalship

in the pattern of advanced education. It is gravitating toward training an "educational leader" who has the competency to be a principal or a superintendent. There is talk of admitting only students who are capable of, and intent on pursuing, the doctorate.

Texas A&M University

The Texas A&M program is performance-based, focusing on training people who want to be principals. In fact, recruitment practices may be structured to admit into the program only those who have the principalship as a career goal. Texas A&M utilizes a number of distinctive methods for implementing performance-based elements, including the NASSP skills matrix, an intensive five week institute dedicated to skill building at the beginning of the program, simulations interior to the course work, and a diagnostic process for determining internship experiences.

The Texas A&M program offers a high degree of creativity in defining the education of a principal beyond the certification process. Through its Principals' Center, Texas A&M defines principalship education as an unending loop of learning, beginning in the certification process but extending through a principal's career. A new professional studies doctorate also seems to broaden the possibilities of what principalship preparation might mean. It offers depth to those who want to be principals but also want to acquire a doctorate.

Participants in the program generally feel that the program has met their needs for both serious academic preparation and practical experience. Though they think that the simulations did involve them in skill building situations, there is some concern that some of the simulations did not replicate the kinds of real life situations that they have to face on the job. Program director, David Erlandson, has commented that such concerns reflect misunderstanding of the intent of the simulations, which is to address the principles and concepts involved in practical decision making. He suggests that there is a dimension to performance-based training that does not have to represent an isomorphic replication of the job itself.

Questions and Observations

The following questions were used to distill information about the four university programs studied. The observations provide a summary of this study and recommendations for practice and further research in this area.

1. **How do the principal preparation programs in the selected universities compare and contrast with the ideal proposed by the NASSP Consortium?**

   All of the universities studied are essentially in harmony with the spirit of the ideal proposed by the NASSP Consortium. All of the universities acknowledge the strong necessity for both knowledge and skill training. Skill assessment at the beginning of each program leads to some kind of effort at skill improvement through practical training. All of the schools have internship programs.

In terms of identifiable adherence to the specific elements of the NASSP ideal, the picture is more varied . The University of Utah and the University of Texas each possess some elements of the ideal but still maintain strong orientations to what may be termed "traditional" structure. Indiana University of Pennsylvania has a textbook application of the NASSP ideal. Texas A&M University possesses almost all of the essential elements of the ideal to some degree.

2. **To what extent are the principal preparation programs in the selected universities cost effective and cost efficient?**

The term "cost effective" was used in this study to refer to the ability of a university program to use available resources to produce quality products—in other words, principals who will be successful. "Cost efficiency" was used to designate the ability to use limited resources to attain quality indicators within the constraints of enrollment and academic regulations. All of the principal preparation programs in this study are cost effective. Each university program has leadership that is excellent at fund-raising and maintaining quality. However, a more subtle question regards the extent to which the performance-based programs in these universities are also cost efficient.

There is ample testimony that the performance-based elements of the program at the University of Utah are costly, particularly in view of the determination to maintain the strength of the traditional program. Especially noted was the high cost of off-campus programs. However, the most promising innovations of the performance-based program, the design studio and skills center, are both located on campus, and the design studio at one time received external funding from a Danforth grant. Neither has added substantially to the cost of performance-based preparation.

The IUP program is both cost effective and cost efficient. The term Robert Millward used was a "break-even" program. The university is spending no more of its resources to operate its highly effective performance-based principal preparation program than it would to operate a traditional program. The three-credit seminar in the summer covers the salary of one professor. The internship and the independent study credits cover the costs of the advisors. Since the program does not offer a graduate degree, it frees the university from allocating permanent staff to the program.

The University of Texas program is highly cost efficient in the operation of its internship program. The system of having its interns hired by school districts as paid employees performing real service to the district allows for a high degree of cost efficiency. There is a consistent concern that there is not money available for full time student residencies . There is also a concern that there are only two staff members available for monitoring the interns in their work, and that additional staff would be useful.

The Texas A&M program may also be considered cost efficient. In order to channel resources to labor intensive areas required by performance-

based, field-based programs, the department head has promoted all sorts of strategies for "doing more with less" in other areas. To maximize its service to practicing and aspiring principals approximately $100,000 has been raised annually to support the Principals' Center.

3. **What are the improvements that the professors and principals would like to see in their principal preparation programs?**

The consensus at the University of Utah reveals a complicated expectation. Both professors and students want to see an expansion of the program into practical training that more closely simulates the on-the-job activities of administrators. There is also general agreement that the traditional academic strength of the program should not be sacrificed. This expectation results in a process of gradual change. Professors are encouraged to use simulations and other devices in their courses, but the decision to do so is theirs alone. Consequently, there is the problem of how to maintain a first rate traditional academic program while also operating a viable performance-based program.

The IUP program faces four major challenges. First there is the problem of viability. A 1984 study of Pennsylvania school administrators suggested that they perceive the most important performance areas to be managing staff, coordinating curriculum, pursuing personal development, legal requirements, and administering local, state, and federal policies (Cronk, Millward, & Walker, 1985). The program is already meeting the needs identified in the Pennsylvania study, but questions about future viability remain, should these needs change. Robert Millward poses this challenge in terms of reliability. "I am sometimes concerned about whether or not the areas we are hitting are current. I am also concerned about the problem of verbalizing performance. For example, what is the role of 'judgment' and 'problem solving?' How would you verbalize that as a perceivable performance?" Second, there is the problem of linkage. The IUP program is for principal preparation only. Third, the future of its leadership is unclear. The program is thoroughly imbued with the energy and vitality of its director; a viable replacement may not be available should he leave the program. Fourth, there is the problem of obtaining resources to refine recruitment techniques, given the large number of students applying for admission to the program.

There are three identifiable directions for growth of the program at the University of Texas. First, there is redefinition of the philosophy of the kind of training that should be done at the university level. A simple statement of that redefinition is that the administrator should be an educational leader rather than a skilled manager. Second, because of its emphasis on the superintendency, the program may eliminate the student who is interested in the principalship. Third, this program shift would lead logically to a change in recruitment expectations.

Texas A & M has designated three areas of improvement for its program. First, it would select candidates who are intersted in being rinciplas. Second, in order to improve recruitment, it would like to develop a more comprehensive profile of an outstanding student. Such a model would provide a structure for recruitment. Third, it would like to continue to provide its alumni principlas with on-going professional development and support by offering educational resources through the Principals' Center.

Conclusion

The findings of this study indicate that performance-based preparation has had a significant effect on current successful principal preparation programs. All of the principal preparation programs in this study are cost effective. All of the universities studied acknowledged the strong necessity for both knowledge and skill training. The programs studied that could not follow the NASSP model as recommended (all but IUP) found creative and distinctive avenues for implementing performance-based elements: internships, assessment centers, mentor systems, skills workshops, and performance modules.

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Chapter
6

Evaluation of Principal Performance

Rhonda Richardson

National reforms and greater focus on improving schools have brought school administrators under closer scrutiny, and their performance is being more closely measured than ever before. Researchers Murphy, Hallinger, and Peterson (1985) studied the role of the superintendent in evaluating principals and found the following results:

1. Principal evaluation is more primitive than teacher evaluation;
2. Many principals are neither supervised nor evaluated on a regular basis; and
3. In twelve districts ranked as particularly effective on student achievement scores, superintendents personally supervised and evaluated principals (Murphy, Hallinger, & Peterson, 1985).

The school effectiveness research has demonstrated convincingly that effective schools begin with effective principals (Peterson & Finn, 1985). The principal is the pivotal figure in a school—the one who most affects the quality of teacher performance and student achievement (Lipham, 1981). Lipham asks why, if the principal's role is so critical in the success of a school, have greater efforts not been made over the years to "replicate," as far as professionally and humanly possible, the successful practitioner?

According to Kelsey (1983), the "measurement of effectiveness in principals may be said to have been a persistent problem, both in the long tradition of research in school administration and in the recent spate of 'school effectiveness studies' " (p. 1). Currently, a movement exists in Texas to improve the existing evaluation system based on recommendations by an advisory committee (Corrigan, 1987). This

advisory committee has identified and approved four general core areas which will be included in the management/leadership training curriculum for principals. Even though this core knowledge has been influenced by the National Association of Secondary School Principals (NASSP), the American Association of School Administrators (AASA), and new management thought such as that proposed by Peters and Waterman (1982), there is no accepted or proven evaluation system designed to determine skill level or knowledge level of Texas administrators in these four areas.

The intent of thi: chapter is to provide an overview of practices used to evaluate the job performance of principals in Texas, to discuss their attitudes and perceptions concerning the evaluation of their job performance, and to make recommendations for improvement of this evaluation process.

Overview of the Literature

Rationale and Purposes for Evaluation

Bolton (1980) asserted that the main reason for evaluation is that it helps to plan for change and to prevent and correct errors. When searching for the rationale for principal evaluation, he argued, it is important to consider the mission of the school. In many school districts, the evaluation process is seen as something completely separate and detached from this mission. Bolton stated that,

> Unless the evaluation system contributes directly to accomplishing the major goals of the organization, it will be viewed as a necessary evil at best or a useless appendage at worst. Therefore, the evaluation of administrators must be an integral part of the management system in order to accomplish the mission of the school district; without this, it will be endured or ignored. (p. 14)

In summing up the actual rationale for the evaluation of principals, Koch and Patterson (1969) address the main issue:

> The major objective of any program of personnel evaluation in education should ultimately be to improve the educational experience of boys and girls. The evaluation of principals has the same basic objective. However, such a program of personnel evaluation will contribute to the total school program if it assists the individual principal to establish personal, realistic goals for self-improvement. The improvement of a principal's competencies should enable him to provide more leadership in the development of suitable educational alternatives for the teachers and students he influences. (p. 156)

Current Approaches

Much of the literature on administrator evaluation discusses four alternative methods: Management by Objectives (MBO), the assessment center process, client-centered evaluation, and peer evaluation. Bolton (1980) believes that MBO is the one

trend that has had the most impact on evaluation systems and managerial strategies in general. Management by objectives seemed to move evaluation into a more positive arena (Redfern, 1978). Redfern described this process as a means rather than an end in itself. McDonald, Owens, and Harrison (1979, p. 29) stated that, "This approach, based on the assumption that people want to do a good job, puts the responsibility on appraiser and appraisee to reach mutually agreed upon objectives." Principals view MBO as a non-threatening alternative to the checklist type of rating scale traditionally used in the schools. The main drawback reported with MBO is the time involved in the process.

The assessment center process has been used for many years in business and is now being successfully used in education. Joines and Hayes (1986, p. 22) defined an assessment center as a ". . . method of evaluating candidates on the basis of how they handle realistic management situations and problems." It is based on the assumption that participants benefit from simulation exercises which are characteristic of activities school administrators perform on the job daily. The positive aspects cited for the assessment center process are the assessor training, the high reliability and validity, and the assistance it provides in career development. Among the negative aspects are the cost, the coaching, the heterogeneity of assessees, and the questionable job relatedness.

Wendel and Sybouts (1988) discussed the future of assessment center methods. These authors believe that properly used assessment center methods will contribute to the quest for excellence in education. They caution, however, that quality control should be a focus of change. "The present state-of-the-art suggests that, if standards of quality are not respected, the method will confront a serious threat to its credibility. Once quality control is lost, the value to be derived from assessment centers cannot be demonstrated" (Wendel & Sybouts, 1988, p. 37).

Client-centered evaluation and peer evaluation are also mentioned in the literature on evaluation of principal job performance. Evaluation by peers involves using other administrators at the same level to perform evaluations, and evaluation by "clients" uses input from subordinate administrators, teachers, and students in the evaluation process (*Evaluating Administrator Performance*, 1985). These approaches are not common, however, and when used are usually optional (Redfern, 1986).

One relatively new strategy that uses an integrated appraisal measure to develop effective management skills for administrators is the Management Profile at Texas A&M University. The Management Profile resulted from the collaboration between David Erlandson of the Department of Educational Administration and Lyle Schoenfeldt of the Department of Management (Erlandson, 1987). Erlandson (1987) described the concept as follows:

> The Management Profile is a comprehensive strategy that has been designed to assist school administrators in the identification of management skills that they bring to their jobs and in the strengthening of these skills. The Management Profile distinguishes among six management functions (administration, technical competence, influence/control, persuasion, training/development, and forecasting/planning) and three leadership roles (evaluator, motivator, director). These functions and roles are

> derived from the goals of the school organization and from the model of the administrator's role which has been formulated by the school organization. These functions and roles can be effectively used in selecting administrators for particular jobs, in assessing how effective administrators are in those jobs, and in helping administrators determine how they may become more effective. (p. 1)

The Management Profile is discussed in greater depth in Chapter 7.

Guidelines and Criteria

The general guidelines for evaluation are fairly consistent throughout the literature. Bolton (1980) published a very concise and thorough list. He believed that the process should be continuous and cyclical; include an examination of input, process, and output; be a result of the actions of several people; be a subsystem which relates to others in the school; involve self-evaluation and evaluation by outsiders; include the assessment of both common and unique objectives; and be monitored to determine effectiveness.

Various types of criteria are suggested in the literature specifically for the evaluation of principals. According to McCurdy (1983, p. 83), Redfern stated that the criteria will probably include ". . . both general and specific actions regarding the attainment of a vigorous and effective school programs as well as particular improvements that the principal or the school needs to achieve." Redfern suggested that these criteria be flexible and sensitive to change as schools become more complex in the programs and services they provide. Various methods for organizing the criteria are available, starting with the general criteria and moving to the specific.

Available lists of criteria for the effective principal encompass many areas and are generally uneven in their choice of areas. The difficulty in developing lists of criteria for principals stems from the role the principal plays in the school. The effective principal must be both an instructional leader and an effective manager, areas which are not easily divided. Each one builds on the other and requires the principal to use skills which are not always visible. Table 6-1 shows four lists of criteria for principals.

Method

Purpose

The purpose of this study was two-fold. The first purpose was to compare principal evaluation instruments used in Texas with the core knowledge and skill areas developed by the Advisory Committee on General Management Training of the Texas Education Agency (TEA). Two research questions were directed to this purpose:

1. **What discrepancies exist between job performance evaluation instruments for principals presently used in Texas and the guidelines established by the**

Table 6-1
Summary of Criteria for Effective Principals

Lindalh (1987-88) One's District Specifictions	AASA Hoyle, Steffy & English (Skill Areas)	Texas LEAD Center (1988) (Skills Areas)	Bolton (1980) (Variables Not Often Considered)
•planning/ implementing the curriculum and instructional program	•establish and maintain positive and open learning environment	•creating and enhancing school environments	•cognitive complexity
•personnel administration and development	•develop and deliver an effective curriculum	•evaluating school curicula	•awareness for learning
•school plant	•develop and implement effective models/modes of instructional delivery	•analyzing instruction & teacher performance	•decisiveness •personality •consideration •emotional maturity
•resource management & school budget	•create programs of continuous improvement, including evaluation of both staff and program effectiveness	•appraising and assessing student performance	•perceptual accuracy and interest •persuasion
•general administration	•conduct and utilize research	•understanding and applying research outcomes to school improvement	•verbal interest •interpersonal contact
•student personnel development	•build strong local, state, and national support for education	•organizing & managing school resources	•conflict resolution and •bargaining
•community relations	•manage school system operations and facilities	•ensuring student discipline and a climate of order	•judgment •boundary spanning
		•developing human resources	•entrepreneurship

Advisory Committee on General Management Training of the Texas Education Agency (Texas Education Agency, 1987)?

2. **What types of instruments are currently being used in Texas to evaluate the job performance of principals in the small, medium, and large school districts?**

The second purpose of the study was to obtain population estimates from elementary and secondary principals about the evaluation procedures being used to evaluate their job performance. Two research questions were also directed to this purpose:

3. **What are the perceptions of principals in the small, medium, and large school districts on job performance evaluation instruments for principals used in Texas in the 1987-88 school year?**
4. **What are the discrepancies between the perceptions of principals at the elementary and secondary levels toward job performance evaluation instruments for principals used in Texas in the 1987-88 school year?**

Principals in this study were asked twelve questions concerning the "process" used in their evaluations and eight questions which sought to elicit their perceptions of the evaluation of their job performance.

Sample

The sampling frame for this cross-sectional survey was developed using the 1987-88 *Texas School Directory* (Texas Education Agency, 1986-87b). There were 1061 districts listed in the Directory, and a sample of 285 was drawn. A sample this size provides a 95% confidence level with a 5% margin of error (Krejcie & Morgan, 1970). The districts were then grouped according to size using data gathered from the Texas Education Agency report on Refined Average Daily Attendance District Rankings (Texas Education Agency, 1986-87a). This report listed a total of 63 large districts, 246 medium districts, and 752 small districts. These figures were then used to determine proportionally the number of districts to be assigned in each of the three size clusters. The number of elementary and secondary principals in each of the randomly selected districts was then identified, and they were allocated proportionally in the sample. There were a total of 1,359 principals (822 elementary and 537 secondary) in the study.

Procedures

Survey research methods were used in this study for gathering and reporting data. The school districts in Texas served as the research population. Each district in the sample was asked to submit the current instrument used to evaluate the job performance of principals. A response rate of 77% was achieved.

A checklist of the Texas Education Agency core knowledge and skill areas was then used to code each of the evaluation instruments received in the investigation. This coding was done by both the researcher and a co-researcher so that an interrater reliability could be established. Analyses of this coding were made using the correlation procedure in the Statistical Analysis System (SAS). A second random sample was then drawn from the identified school districts. This sample included a proportionate number of elementary and secondary principals in small, medium, and large districts. A questionnaire was sent to the principals. An 84% response rate to this questionnaire was achieved. Resulting data were also analyzed using the Statistical Analysis System (SAS). Percents for each coded variable were reported by district size and school level for ease of interpretation. Chi Square analyses were employed to investigate associations between response patterns and district size and level. Analysis of variance was used for the items which used rating scales.

Findings

A summary of the findings of the four research questions is provided below.

1. **What discrepancies exist between job performance evaluation instruments for principals presently used in Texas and the guidelines established by the Advisory committee on General Management Training of the Texas Education Agency?**

   Formal evaluation instruments used in Texas in the 1987-88 school year were found to include objectives in each of the four core knowledge and skill areas identified by the Advisory Committee on General Management Training:

   Administrative Skills: planning, organization, implementation
   Interpersonal Skills: human relations (individual), human relations (group), receptive communication, expressive communication, conflict resolution
   Conceptual Skills: observations, evaluation
   Resource Skills: fiscal, personnel, facilities, data/technology, support systems

   Conceptual Skills was found to be the weakest skill area on the formal evaluation instruments. When objectives were scored in this area, they fell predominantly into the sub-categories of "observation" and "evaluation." "Strategic thinking," "problem analysis," "creative thinking," and "risk assessment" were virtually absent from the evaluation instruments.

   The Administrative Skill area of "change management" and the Interpersonal Skill area of "reflective practice skills" also received low scores. These skill areas are difficult to evaluate and have been frequently omitted from evaluation instruments.

2. **What types of instruments are currently being used in Texas to evaluate the job performance of principals in the small, medium, and large school districts?**

Almost all of the formal evaluation instruments currently being used in Texas to evaluate the job performance of principals are checklists or rating scales. The number of items on the instruments ranges from seven items to more than 60. About 100 of the 210 instruments were similar to each other. The remaining 110 were dissimilar. The most frequently used evaluation instrument was taken from various personnel management manuals published by the Personnel Services Division of the Texas Association of School Administrators (TASA) and the Texas Association of School Boards (TASB). Twenty-six of the selected districts used this type of form. The skills probed in these instruments were predominantly in the Administrative, Interpersonal, and Resource Skill areas.

3. **What are the perceptions of principals in the small, medium, and large school districts on job performance evaluation instruments for principals used in Texas in the 1987-88 school year?**

The study revealed certain facts about the actual evaluation process in various districts. As expected, medium and large districts have a somewhat higher incidence of having a formal evaluation process. The large districts are also most likely to have this evaluation process approved by the school board. The superintendent in small and medium districts and the assistant superintendent in large districts usually undertake the evaluations once a year. Large districts also tend to rely on more than one person to do the evaluation. None of the districts uses input from the community, parents, faculty/staff or peers. Self-evaluations are used by about half of all the districts sampled. Large districts are more likely to use personal goals and objectives and growth plans. All districts report using conferences with the superintendent or evaluator as part of the evaluation process. The smaller districts are more likely to use observations in the evaluation process. Those in small and medium districts believe that the superintendent should be involved in the process, while those in large districts feel it is the role of the assistant superintendent.

The actual evaluation process currently in use differs from the evaluation process that principals would like to see in effect. Ninety-seven percent of the responding principals felt that self-evaluations should be part of the evaluation process. Analysis of the open-ended responses to the principals' questionnaires also showed that principals want more than one source of input into the evaluation process. Principals noted that this could be done by self-evaluations, conferences, observations, and visitations. Conferences are performed, but the other procedures desired by the principals do not exist to a significant degree in their school districts.

4. **What are the discrepancies between the perceptions of principals at the elementary and secondary levels toward job performance evaluation instruments for principals used in Texas in the 1987-88 school year?**

Overall, secondary principals are more involved and have a much more formal,

consistent evaluation process than elementary principals. Secondary principals reported a higher percentage of written job descriptions and evaluation processes approved by the board, a higher rate of superintendent involvement in the evaluation process through conferences and evaluating, and, in general, a much higher feeling of involvement in the whole evaluation process.

Conclusions

The following conclusions can be drawn based on the findings of this study:

1. Conceptual Skills are not being included in evaluation instruments used in Texas to evaluate the job performance of principals. Evaluation instruments are focusing more on Administrative, Interpersonal, and Resource Skills. This conclusion seems consistent with the literature. The focus on observable, job-related behavior has been at the forefront of the reform movement for teacher appraisals and is now being carried over to administrators (Bolton, 1980; Bernardin, 1986). Research has shown that when a district does require only observable criteria, the criteria developed are usually very basic (Bolton, 1975; Deal, Dornbusch, & Crawford, 1977; Bernardin, 1986).
2. Checklist and/or rating scale evaluation instruments are used most often in the evaluation of the job performance of principals. Various problems associated with this type of format include the failure to recognize effort and motivation, opportunity bias, and contamination, which is the inclusion of items not related to job success (Redfern, 1980; Bernardin, 1986).
3. Large districts have a much more formalized and consistent process for evaluating the job performance of principals than do smaller districts.
4. Secondary principals feel more involved in the evaluation process and work closer with their superintendents during the evaluation than do elementary principals.
5. Principals at both levels from all districts believe that self-evaluation should be a part of the evaluation process. Self-evaluation can help the evaluation process become a joint effort rather than simply one person's judgment of another (Bolton, 1980; Harrison & Peterson, 1987).
6. The development of norms and their consistent application are of major concern to principals in the evaluation process. Many of these principals were having a hard time believing in the process and, as stated before, the ultimate success of a performance evaluation system is related to the confidence of the person being evaluated (Landy, Barnes, & Murphy, 1978; Garawski, 1980).

Recommendations

Based on this study's findings and conclusions, the investigator makes the following recommendations:

First, a more standardized form of a checklist or rating scale should be developed

for use by school districts in Texas (and nationwide) for evaluating the job performance of principals. The discrepancies between quality and quantity of formal evaluation instruments currently being used is great. There must be some generic performance criteria determined for evaluation systems statewide (in Texas, and across other states as well), but there must also be room left for local expectations that the district has for the successful performance of the principal.

Second, evaluation instruments in Texas must encompass all four of the core knowledge and skill areas identified by the Advisory Committee on General Management Training of the Texas Education Agency. Conceptual skills, so important to the effective principal, must be included in the assessment and/or evaluation process. Various means for evaluating this crucial skill area must be considered. Simply using a checklist or rating scale may not effectively assess this ability. Educators might consider the Assessment Center Method, the Management Profile, and other similar methods.

Third, principals must be more involved in the evaluation process. This can be done by setting personal goals and objectives, providing for a self-evaluation, and establishing growth plans. Principals responding in this study emphasized the importance of these procedures in the evaluation process. The outcome of the evaluation process should be overall professional growth.

Fourth, small school districts must become more aware of the importance of the evaluation process for principals. Minimum standards and guidelines should be established and enforced. The basis for this will probably come from the state after undergoing pilot studies on administrator evaluation. The criteria established from these pilot studies might serve as minimum standards in the overall accreditation process.

Fifth, norms and consistencies need to be established for the evaluation of the job performance of principals. The research points out that to have quality assessment there must be performance standards, indicators of performance, procedures for gathering evidence, and consistent application of such procedures and standards (Sweeney, 1981; Standards for Quality Elementary Schools, 1984; Harrison & Peterson, 1986). With recent research on guidelines and skills of administrators and the intensification of state accountability systems for administrators, public education is one step closer to building consistency in the evaluation standards for administrators.

Finally, attempts must be made to secure a greater involvement of elementary principals in the evaluation process. Closer coordination between the superintendent and the elementary principals concerning their evaluations should be established. One way this might be done is through some form of school-based management. The research on effective schools is now showing that the superintendents who are successful in improving student performance are working closely with their principals in more of a school-based management relationship. This is defined by the National Committee for Citizens in Education as a form of district management in which the school-community is the key unit for educational change and improvement (Burns & Howes, 1988).

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Chapter
7

The Management Profile

David A. Erlandson, Vickie J. Lacy, & B. Elaine Wilmore

This chapter reviews four years of research and development activity that has produced and supported the Management Profile, a comprehensive strategy designed to assist principals in identifying and strengthening their leadership and management skills.

Early Stages of Development (January 1986 - May 1987)

Early in 1986 a collaborative relationship was established between the Texas A&M University Principals' Center and Lyle F. Schoenfeldt, Professor of Management at Texas A&M University. The purpose of the relationship was relatively simple and straightforward. A year and a half earlier the State of Texas had passed its omnibus education reform bill, House 72. One piece of this lengthy legislation bill mandated "general management training" for all school administrators. What this management training was to look like had not been clarified in the legislation, and a pilot project, proposed and funded by the bill, failed to offer much direction. However, the interest was clear that this training was to take advantage of progress that had been made in the private sector and was to be ideally developed in collaboration with colleges and departments of business and management.

In their initial meeting together, Schoenfeldt introduced David A. Erlandson, Professor and Head of the Department of Educational Administration at Texas A&M University, to an integrated appraisal measure based on the earlier research and development activities of Schoenfeldt and his associates in the Early Identification of Managerial Talent (EIMT) Project at Rensselaer Polytechnic Institute. Schoenfeldt had used this integrated appraisal measure in the Texas A&M University College of

Business Administration Fellows program and in work with managers in the private sector. A journal article by Brush and Schoenfeldt (1980) compares the integrated appraisal measure as a strategy for identifying managerial talent with the assessment centers. They conclude that the integrated appraisal measure contrasts favorably with assessment centers in terms of cost, validity, job relatedness, and impact on professional development. This integrated appraisal measure, derived through a videotaped interview with prospective or incumbent managers became the foundation for the Management Profile (Erlandson, 1989b). During Spring 1986 Erlandson adapted the interview format of the integrated appraisal measure for use with school principals. By June, a standard format, with numerous support questions, had been developed that would produce reliable information on six managerial functions and three leadership roles (Table 7-1) of the principal's job.

Functions are those activities that the manager performs in pursuit of the organization's mission; roles reflect the relational modes used by the manager to perform functions. Functions are fulfilled as the manager relates to the organization through various roles. Similarly, roles are never seen in isolation; they are always exercised in pursuit of one or more functions. If we note that "the principal prescribes a schedule of training sessions on mastery learning for her teachers," she is using the Director role to execute the Training/Development function. This interrelation is visually described by the matrix in Figure 7-1.

Between July 1986 and May 1987, ten principals, from three different school districts in San Antonio, participated with Erlandson in a pilot project to develop the Management Profile. The goals of the project were (a) to develop a strategy that would efficiently assess and effectively build the management skills of school administrators, and (b) to reduce this strategy to a process that was sufficiently cost-efficient to have wide applicability. In July 1986, all ten principals engaged in half-hour videotaped interviews. These interviews were assessed by Principals' Center staff, and recommendations for developmental activities were made to each principal. Erlandson conducted six seminars with these principals during the academic year. During these seminars, the principals were familiarized with the integrated appraisal measure, reviewed their videotapes and assessments, planned interventions to develop their management skills, and explored strategies for using the Management Profile with other administrators. Between seminars the principals logged their activities on the job and planned and implemented interventions in support of their professional development plans. Between the fifth and sixth seminars, each of the principals participated in a second videotaped interview designed to reassess the level of his or her management skills. These videotapes were compared with the earlier interviews to determine progress. Evidence from these second interviews, when combined with evidence from the principals' logs, provided rich pictures of the professional development that had taken place over the course of the year. A strong foundation had been laid for future development of the Management Profile.

Figure 7-1
The Management Profile

Functions:

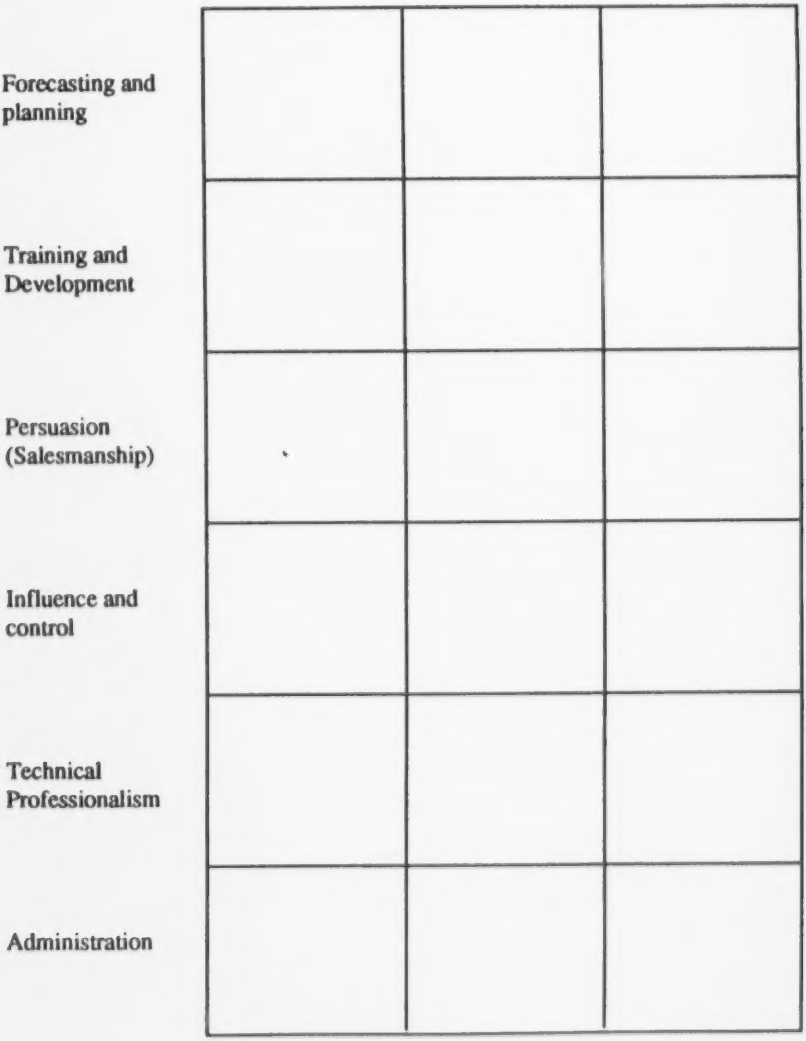

Table 7-1

•Functions and Roles of the Management Profile-Managerial Functions:
The managerial functions are those activities in which managers engage in their daily operating roles.

•Forecasting and Planning: The principal sustains a vision for the school and projects its path into the future. This function is evidenced by the principal's actions in structuring the future activities that will alter personnel relationships, the nature of work required, and the procedures for doing so. The principal must specify goals, objectives, paths, and milestones and must plan for strategies to meet them. Above all, the principal must define the group's worth in future activities.

•Training and Development: This function has two facets to it. One might be labeled the formal organizational training and development program and the other, the principal's faculty and staff developmental efforts. The former is usually dictated by state mandate and district policy and is more structured and less variable in nature in that training courses are specified and structured by such criteria as subject area, grade level taught, etc. The less formal staff development performed by the principal is usually tailored to each member of the faculty and staff and reflects the principal's own style and personality. Training and development are, in short, a combination of organization training and personal experience provided or shaped by the principal.

•Persuasion: The principal serves as a spokesperson for the school. In performing this function, the principal "sells" the school to the superintendent and board, parents, the community, and other professionals. In addition, the principal persuades teachers and school staff to follow the district's and the school's goals. A related activity is the quest for talent and the recruitment of teachers in the sense of selling the school as a good place to work. In essence, this function may be summarized as one of convincing others by words or actions to accept or act in harmony with the principal's wishes.

•Influence and Control: This managerial dimension involves exerting direct influence over others. As the one formally at the head of the school, the principal states the goal and indicates the person responsible for accomplishing it. As the person in authority, the principal does not need to justify actions or the purpose of why a particular action is desired. Related to this is influencing others from a position of recognized authority. Although this influence might be participative, rather than in a direct manner, the principal is still using organizational authority to accomplish a job.

•Technical Professional Interaction: This function can best be thought of as expertise or knowledge in some area of content. Although the principal may not be the most competent in the school in any specific area of content, he/she must have a level of expertise that enables him/her to be seen as a person who has the necessary credentials,including education and experience, and is perceived in the school as one who could perform effectively as a classroom teacher.

Table 7-1 Continued:

•***Administration***: This function refers to the many activities required of a principal by organizational rules and regulations. Filling out forms, scheduling or coordinating specific events, specification of various topics by memo, and the response to requests in the administrative sense, are all examples of such activities. Included in this function is also the skill of dealing with or reacting to the information, requests, and demands coming across the principal's desk continuously.

The leadership roles in this dimension are interwoven throughout the managerial functions. Although defined, each of these relational factors are only observable within the specific managerial functions.

•***Motivator***: This factor is best defined as arousal or energizing. The principal establishes a pace and engenders enthusiasm. The target is moved to action. The target feels a necessity to become involved. It should be noted that nothing about the direction of the target's activity is mentioned. The motivational aspect of the principal's role is to excite and arouse. It implies nothing about direction—that comes with the director classification.

•***Director***: The principal is the goal setter and definer of direction. The direction or goal, as set in the director dimension, can appear within any of the managerial functions. Thus, the principal can set a technical goal, a direction in planning, or an aim in training and development. The managerial functions are simply defined as activities that operationalize the director factor. Thus, the use of the reward system to achieve a goal, or the ordering of a specific act, is to play out a management function to accomplish an end that was set within the director role.

•***Evaluator***: The principal is a combination of sensor and assessor. The principal scans information on people, resources, influence strategies, avenues of action, and policies and makes appraisals of them in relation to the operation of the school.

Emergence of Strategies for Professional Development

The immediate product of the Management Profile is a confidential report, designating the relative strengths and weaknesses of a school administrator in the performance of his or her job. This leads to the construction of a Professional Development Plan that targets areas for improvement, proposes interventions to produce these improvements, and specifies the measures and procedures by which this improvement will be demonstrated. This process is personalized and directed by the professional whose skills are being strengthened, usually with the assistance of one or more other professionals who serve as coaches in the development process.

The Management Profile was recognized early by the Texas Education Agency as exceeding established expectations for state mandated general management training and, since completion of the pilot project, has been used by personnel of the

Texas A&M University Principals' Center in a number of different settings and in diverse modes to provide professional development for school administrators. The Management Profile has been used to provide professional development for principals attending the annual Principals' Center Summer Academy. Used for the comprehensive professional development of school administrators in two large and several smaller school districts, it has been introduced in other districts, as well. Personnel at another university have also been trained in applying the Management Profile, in anticipation that this university might become a satellite training center for the Management Profile.

During implementation of the Management Profile in one large school district in Texas, the Perceived Performance Instrument was developed to complement the assessment of the videotaped interview with perceptions of an administrator's performance by his or her superordinate, subordinates, peers, and the administrator him or herself. On the instrument, respondents indicate how they perceive the performance of the administrator relative to personal leadership attributes and to the six management functions. Data obtained from this instrument are particularly useful in the professional development process. Unlike the data obtained from the videotaped interview, they are not linked to specific job performance. Nevertheless, these data do reflect important pieces of the environment in which the job is performed and, therefore, furnish important guides for future action (Erlandson & Hoyle, 1989).

Once the Management Profile was developed, a central continuing question was raised concerning its application. Is the Management Profile best considered as a tool for selection, placement, and promotion or as a strategy for professional development? The two purposes are obviously related; but their joint implementation causes difficulties, particularly since the Management Profile's evolution as a strategy for professional development during the pilot project emphasized reflective practice and collegial support. These characteristics are difficult to encourage when summative personnel decisions are also being based on the data gathered by the process. The Management Profile has thus far been adopted primarily as a strategy for professional development; but its record as a reliable predictor of success on the job has also made it attractive as a tool for assessment, and it has, at times, been used in this way. Both options need to be kept open, particularly since it has been considered as a foundation both for professional certification and for professional preparation. At this point most of the research that is needed for either direction is common to both.

Expansion of the Management Profile

In November 1987 the Commission on Standards for the Principalship of the National Association of Secondary School Principals supported research and development on a Taxonomy of Standards for the Principalship (Figure 7-2) that builds upon the constructs of the Management Profile to include the task areas (Substantive Areas) in which the principal performs. A definition of each of the substantive areas is provided in Table 7-2. While the expanded model was designed specifically for the assessment of the performance of principals, experience has

Figure 7-2
Taxonomy of Standards for the Principalship

Substantive Areas/Targets	Government/Legal/Policy			
	Auxiliary Services			
	Student Affairs			
	Parent/Community Relations			
	Business/Finance			
	Professional Personnel			
	Instruction			
	Educational Program/Curriculum			
Functions	Forecasting/Planning			
	Training/Development			
	Persuasion			
	Influence/Control			
	Technical Professionalism			
	Administration			
		Motivator Role	Director Role	Evaluator Role

shown that with some modification of the definitions of the substantive areas, it can be used effectively with other line administrative positions (such as the superintendency) in the public schools.

The expanded model, including the Substantive Area dimensions, provides a useful option for users of the Management Profile. The expanded model requires an interview that takes nearly twice as long to complete as an interview that examines only functions and roles. However, the data obtained is much richer and provides a much stronger base for the professional development efforts of an administrator. Since roles and functions generally appear in a greater number of contexts when the expanded interview is used, more data is usually provided for making the original diagnosis of job performance. Also, by showing a profile of comparative strengths and weaknesses in the task areas of the job, more specific direction for pertinent interventions is provided. Most professionals who have successfully used the basic format of the Management Profile interview find that the expanded format increases their effectiveness considerably.

Table 7-2
Substantive Areas

•***Educational Program/Curriculum***: Educational program plans/designs are policy documents generated by district personnel and approved by school boards from which curriculum and instruction are derived. Curriculum represents the tools, methods, and materials that are used to implement programs.

•***Instruction***: Instruction refers to the interactions of teachers and students, under the aegis of the school, with the purpose of imparting knowledge and skills. Instruction requires the shaping of learning environments, learning sequences, and teaching strategies by the professional staff of the school.

•***Professional Personnel***: Professional Personnel entails the recruitment, selection, assignment, orientation, evaluation, motivation, and retention of professional staff.

•***Business/Finance***: Business/Finance is the management of the school's financial resources.

•***Parent/Community Relations***: Parent/community relations refer to the sum of interactions between the principal (or representative) and spokespersons who represent concerns external to the official school organization.

•***Student Affairs***: Student activities are those programs, functions, and events through which students may explore or extend personal interests and abilities beyond formal course offerings and which contribute to a total education and to the well-being of the school.

•***Auxiliary Services***: Auxiliary services are those services performed by the school which are in addition to and indirectly related to the instructional program. These include transportation services, attendance services, cafeteria services, etc. These areas are related to classroom instruction as they support the teacher in attaining the goals of the educational program.

•***Government/Legal/Policy***: The Government/Legal/Policy domain includes the interaction between the school and the political system in which it is located, including the school's patrons and legally constituted bodies and authorities.

Research on the Management Profile

As the Management Profile has been used with hundreds of school administrators since its initiation in 1986, its application has progressively been refined. Three day training sessions, organized by the Principals' Center, have proven to be very effective in producing reliable assessors of performance on the Management Profile. However, while these training sessions consistently produced reliable assessors, apparently through a socialization process, the specification of criteria to provide the basis for judgments did not keep pace. Prior to 1988 little progress had been made to explicitly assist the assessor beyond the definitions provided for functions, roles, and substantive areas. The only guides beyond these definitions were a set of "referenced assessments," written examples to which trained assessors had assigned ratings. While these examples were helpful to assessors, they were limited in that they did not provide sufficient links to the behavioral contexts in which they had taken place or explicitly identify the criteria by which the judgments had been made.

The Wilmore Study

In 1988 Elaine Wilmore completed her study (Wilmore, 1988) on the establishment of criteria for standards of principal performance. This study, sponsored by the Commission on Standards for the Principalship of the National Association of Secondary School Principals, identified six criteria for judging examples of principal performance:

1. Relationship to overall *mission* of the school
2. Impact on school *effectiveness* and/or operation
3. *Scope*: limited vs. comprehensive
4. Level of *competence* or skill required for completion of the task
5. *Duration* of the task: short term vs. long term
6. *Nature* of the task: simple vs. complex

These criteria were extracted from 288 field generated examples of principal behavior (six examples for each cell of a management functions-substantive areas matrix) by two panels of exemplary principals who had been brought to the Texas A&M University campus for this purpose. The reliability of these six criteria as predictors was established by comparing the panels' ratings with those of eighty additional principals who used the criteria to rate a final list of 144 examples.

In addition, the Wilmore study examined the three leadership roles as they were evidenced in the 288 examples. It was concluded that all three roles are operational in principal performance and they function independently enough from the manage-

ment functions to justify a separate dimension on the Management Profile model.

The ELD Study

Since the exemplary principals who inferred the criteria from the 288 examples had considered them as a unit and since the eighty principals who rated the examples were asked to apply the criteria in a holistic fashion, the Wilmore study left unanswered the questions of how much overlap there was among the criteria and the amount of variance in ratings which the criteria separately and collectively accounted for. To find direction for answering this question a small pilot study (Erlandson, 1989a) was conducted in Spring 1989 by Elaine Wilmore, Laurie Witters-Churchill, and David Erlandson to determine if a larger study to further clarify this issue was warranted. This study, sponsored by the Principals' Center, was labeled the "ELD Study" after the first names of the investigators.

In conducting this pilot study an assumption was made that a small group of investigators, totally familiar with the purposes of the Wilmore study and expert in classifying principal behavior in terms of the Management Profile constructs, would, by more accurately applying the identified criteria both singly and collectively to each of the 144 examples contained in the final list of the Wilmore study, be better able than a larger non-expert group to identify separate contributions to the variance. If separate contributions were identified by this small group, they could then be tested with a larger non-expert group.

It became clear to the investigators during the study, as they compared ratings on each criterion that two of the criteria (#2 "effectiveness" and #5 "duration") were ambiguous. Subsequent statistical analysis of their ratings demonstrated that these two criteria added virtually nothing to the variance accounted for by the other four criteria. Thus, the ELD Study helped to clarify the meaning obtained from the Wilmore study and provided direction for the future.

Next Steps

As a result of the Wilmore study, the ELD Study, and ongoing developmental work on the Management Profile, three additional studies have been planned:

1. Since a major goal of the Management Profile is to provide a valid and reliable procedure for the assessment of leadership and management skills demonstrated by school administrators on the job, an immediate need is the construction of the first edition of a manual for those who will assess the videotaped interviews that form the foundation of the Management Profile process. It is envisioned that this manual will parallel those provided for judges of gymnastics or diving competition. It is anticipated that such a manual will go through regular refinements and extensions, but it is deemed imperative that an initial version of such a manual be developed as soon as possible. The Wilmore study, the ELD study, a careful review of relevant

literature, and experience with the Management Profile will be used to provide guidance to assessors. The four criteria and their relative contributions to explained variance for each of the management functions will be major considerations in developing guidelines for assessment. The developmental work to produce the first assessor's manual is being directed by Nancy J. Atkinson, research associate in the Texas A&M University Principals' Center. At present she is completing an analysis of the literature and blending it with the criteria identified in the Wilmore study and the ELD Study and with those identified by ten assessors who rated a common set of nine videotaped interviews. From this she will develop a draft that will be refined into a first edition of the assessor's manual through successive administrations to increasingly non-expert panels of assessors. Her work is slated for completion by June 1990.

2. The ELD Study assumed that, as a first step in interpreting the Wilmore findings, a small group of investigators, totally familiar with the purposes of the Wilmore study and expert in classifying principal behavior in terms of its theoretical constructs would be an economical procedure for determining if a larger follow-up study was needed. If no differences were found in the contributions of the various criteria when they were applied by such a group of raters, it would be futile to expect that a larger group of non-expert raters would find differences. Since the criteria have tentatively been reduced to four in number and the distinctions between them have been further explicated, it seems feasible now to conduct a larger study to determine if the reduction to four criteria is justified and what the contribution of each criterion is to the overall explained variance in the ratings of each management function. At the same time this will provide additional data for refinements in the assessors' manual described in paragraph one above. This study will be directed by David Thompson, a graduate student in the Department of Educational Administration at Texas A&M University. It is anticipated that this study will be completed by June 1991.
3. Another requirement of future editions of the assessors' manual will be a clarification of the importance of each cell in the matrix formed by intersection of the six management functions and the eight task areas in which principals perform. Accordingly, a large scale study will be required to identify which cells need to be given the greatest weight in assigning an overall rating to a principal's performance on the Management Profile. In assigning weights to roles, functions, and substantive areas, a strategy will need to be devised that allows for both national standards and local requirements. Accordingly, the proposed study should begin to identify which areas of the matrix should be most influenced by local norms and which areas should most directly reflect national standards. This study will be directed by Vickie J. Lacy, a research associate in the Texas A&M University Principals' Center. It is anticipated that this study will be completed by June 1991.

Future Research and Development

Future research and development activities will focus on two major areas: (a) the continuing refinement of the meaning and impact of each cell of the three dimensional Management Profile model, and (b) the development of improved strategies to make the Management Profile more efficient and effective in the assessment of the performance and potential of school administrators and in the improvement and professional development of those same qualities. These two broad areas are obviously not separate; progress in one area will facilitate reciprocal progress in the other. For example, the assessor's manual that is presently being developed will never be considered a completely finished product. Additional research on the impact and definition of each cell will lead to refinements in the manual's procedures; similarly, use of the manual in diverse field situations will provide a stream of field based data that will both force modifications in the manual and will pose additional research questions about the model itself. Also, several other types of studies will be required. One of these is a more exhaustive study of the impact and trainability of the three leadership roles and their specific relationships to the other two dimensions of the model. This study, and others like it, will potentially have major impacts on the way that school districts and other organizations use the Management Profile as a tool for selection, evaluation, or professional development.

It is not anticipated that the need for research and development of the Management Profile will ever be completed. This is in keeping with its character as a basic explanatory and predictive model. Ongoing research and development will continue to expand its power as a tool for the identification, preparation, selection, evaluation, and development of leadership and managerial talent in the schools.

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Chapter 8

Where Will They Find It?

The Twenty Year Question

It has been nearly twenty years since the Professors of Secondary School Administration and Supervision (PSSAS) Committee of the National Association of Secondary School Principals (NASSP) published its monograph, *Where Will They Find It?* (National Association of Secondary School Principals, 1972), fifteen years since the committee produced its follow-up study, *Continuing the Search* (National Association of Secondary School Principals, 1975), and five years since the NASSP's Consortium on Performance-Based Preparation of Principals published the "red book," *Performance-Based Preparation of Principals: A Framework for Improvement* (National Association of Secondary School Principals, 1985). These separate pieces are sequential, and the present volume builds on that legacy. That it has been published under the auspices of the University Council for Educational Administration (UCEA) is perhaps the surest documentation we have that a central theme of these works, the joining of the crafts of professor and practitioner, is on the way to fulfillment.

Nevertheless, twenty years is a long time, and the second and third chapters of this volume would indicate that the question posed by the title of the original PSSAS monograph remains unanswered for most prospective and practicing principals. Chapters 4 and 5, however, reveal that new arrangements, within and across universities, are being addressed very directly to this question. Models for effective performance-based programs do exist in universities. The task now is to diffuse these models across other universities and other states. New program development in Virginia, Massachusetts, Michigan and other states gives promise that the framework described in the "red book" is beginning to make a significant impact.

Beyond preparation, of course, is the recruitment, selection, and placement of principals. Beyond placement is the ongoing professional development of principals. Chapter 6 presents a contrast between the fairly inadequate strategies for evaluating principals that operate in many school districts and the fairly sophisticated technology that is available. Chapter 7 describes the research and development activity that has

gone into one comprehensive system for the assessment and professional development of principals. Perhaps before the year 2000, a comprehensive and positive answer will have been found to the initial question: Where will they find it?

Some Thoughts for the Future

There perhaps has never been a time of greater opportunity than the present for strengthening the preparation and professional development of principals. Politicians and educators alike agree that something needs to be done. Some things that offer promise for success are outlined below:

1. Close, long-term collaborative relationships

It seems certain that we have the technical capabilities to do a much better job of preparing and nurturing principals than we are currently doing. A central problem seems to be that every group that wants to move from the present status—professional association, state agency, or university program—wants to do its own thing. Perhaps the National Policy Board can enable us to move from such solitary stances. These collaborative relationships are clearly needed in several areas:

a. Between universities and professional associations:
Professional associations and those units within universities that have responsibility for preparing and developing principals have common purposes. Too often in the past this relationship hasbeen represented by token exchanges (presentation at professional conferences by professors, presentation in classes by principals) andby polite disdain from both sides. What needs to be done is too important to leave the situation at these levels. The preparation and professional development of principals needs joint planning and strategy construction by professors and representatives of professional associations. Both need to get their hands dirty in the culture of the other; roles for who can do what best in implementing the joint strategies need to be explicated.

b. Between universities and school districts:
University professors who work with and prepare principals need to become thoroughly familiar with the cultures of the schools in which these principals operate. Programs need to be developed to bridge the gap between university classroom and school settings and thereby enhance the performance of principals in those settings. Public school districts must work with universities and learn to direct their creative resources to solving real problems that are faced in the schools.

c. *Between universities, professional associations and state departments of education:*
These three groups need to work together in true collaborative fashion. They need to set up standards for certification that are genuinely tied to the requirements that principals face on the job. Experience has resoundingly shown that merely increasing formal requirements for licensure is insufficient.

2. Restructuring of University Programs

Emphasis here must be placed on the "restructuring" concept; mere program modification is not sufficient in most cases. One framework for systematic improvement is that proposed in the Consortium for Performance-Based Preparation of Principals' 1985 monograph (National Association of Secondary School Principals, 1985).

3. Continuing Research

This volume has presented the report of a set of related research studies that have been conducted around the central theme of administrator preparation and professional development. More research is needed; more universities need to establish ongoing research strategies for identifying how performance-based preparation can best be structured, delivered and disseminated. Specifically, research is needed in these areas:

a. Clarification of roles of local school districts, professional associations, state departments of education, and universities in the identification and nurturing of administrative talent;

b. Longitudinal studies of university programs that are systematically attempting to restructure their programs to implement the principles of performance-based preparation;

c. Longitudinal studies of statewide programs that adopt preparation and certification standards that are performance-based;

d. Identification of comprehensive strategies for the short range and career-long professional development of principals;

e. Further studies that will clarify those skills that are truly generic to the profession and should be included in the preparation and certification of all principals and those skills that need to be shaped according to separate situational contexts.

Conclusion

If this brief volume has done one thing, perhaps it has shown the power that is turned on when professors and principals work collaboratively on common problems. Perhaps it has also helped to clarify the direction that should be pursued in order to channel this power into effective preparation and professional development programs.

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